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ABSTRACT

Kentucky's first education service agency (ESA) network was initiated in 1972. After expanding to cover most of the state, it was dissolved in 1976 for lack of funding. Using case study methodology, this paper discusses the historical background of Kentucky's educational system, the establishment and abolition of educational regions and of the ESA networks, the perceptions of ESA executive officers and of officials from the state education agency (SEA) concerning the ESAs, and post-mortem observations. A five-part questionnaire was used to measure perceptions of ESA and SEA officials. Findings are based on a sample of 12 respondents and indicate strong support for ESAs in the field (at the local level) but opposition to ESAs in the state superintendent's and governor's offices. The report suggests that greater grass-roots involvement in planning the ESA network would have enhanced its chances for survival. Other factors contributing to the system's demise were the absence of a statutory basis and competition among different educational agencies. However, the political environment seems to have been the greatest determinant in the decision not to continue the ESAs. (Author/WD)

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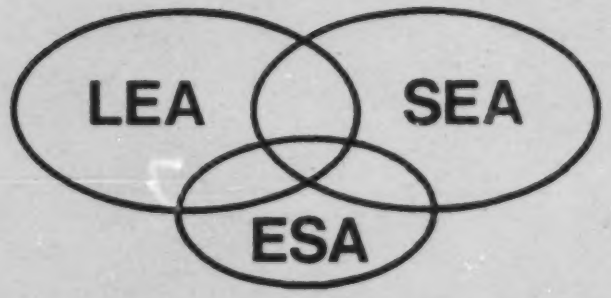
THE ESTABLISHMENT AND ABOLISHMENT OF A STATEWIDE SYSTEM OF EDUCATION SERVICE AGENCIES: THE KENTUCKY EXPERIENCE



Stephens Associates
14404 Perrywood Drive
Burtonsville, Maryland 20730

ESA Study Series / Report No. III

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PUBLICATIONS OF THE ESA STUDY SERIES[a)]

*Report No. I.	EDUCATION SERVICE AGENCIES: STATUS AND TRENDS
	Part A TECHNICAL APPENDIX Part B EXECUTIVE SUMMARY Part C QUICK REFERENCE CHART Part D A GLOSSARY, THESAURUS, AND TAXONOMY OF ESA CONCEPTS AND TERMS
*Report No. II.	THE PERCEPTIONS OF SELECTED KEY ACTORS CONCERNING ISSUES SURROUNDING EDUCATION SERVICE AGENCIES
*Report No. III.	THE ESTABLISHMENT AND ABOLISHMENT OF A STATEWIDE NETWORK OF EDUCATION SERVICE AGENCIES: THE KENTUCKY EXPERIENCE
**Report No. IV.	A DIRECTORY OF EDUCATION SERVICE AGENCIES 1977-78
**Report No. V.	A SELECTED BIBLIOGRAPHY ON INTERAGENCY COOPERATION, INTERGOVERNMENTAL RELATIONS, AND REGIONAL PLANNING IN ELEMENTARY/SECONDARY EDUCATION AND OTHER PUBLIC SERVICE
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*Report No. VII.	MAJOR POLICY ISSUES SURROUNDING THE EDUCATION SERVICE AGENCY MOVEMENT AND A PROPOSED RESEARCH AND DEVELOPMENT AGENDA
**Report No. VIII.	CONCEPTUAL AND METHODOLOGICAL CONSIDERATIONS FOR USE IN PLANNING STATE SYSTEMS OF EDUCATION SERVICE AGENCIES
**Report No. IX.	THE ROLE OF EDUCATION SERVICE AGENCIES IN METROPOLITAN AREAS

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a) Two other products of the ESA Study Series not shown above are: a library collection of primary documents and illustrations of exemplary ESA practices, housed at the AASA/National Organization of County, Intermediate, and Educational Service Agencies; and, the staging, in June, 1979, of an Invitational Symposium on ESAs.

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THE ESTABLISHMENT AND ABOLISHMENT OF A STATEWIDE SYSTEM OF EDUCATION SERVICE AGENCIES: THE KENTUCKY EXPERIENCE

Project Staff

E. Robert Stephens, Director
Grace A. Bensimon, Research Associate
Tony P. McAdoo, Research Associate
Noble J. Gividen, Senior Consultant

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ACKNOWLEDGMENTS

The report on the creation, operation and abolishment of the Kentucky Educational Development Regions (EDRs) is in the mode of a case study. It consitutes an interesting story and contains useful insights for those who would create new or alter existing networks of education service agencies (ESAs).

The successful completion of the report depended upon the cooperation of many people. There are too many Kentuckians to name without risk of omission and embarrassment, but some are named, nonetheless. Heading any list would be the former and present State Superintendents of Public Instruction, Lyman V. Ginger and James B. Graham. They made the study possible by sharing time with me in person and on the phone, and by directing me to others who could provide information and opinion. Foremost among the others were William Birdwell, the current Superintendent in Bourbon County and former State Director of Regional Services; Donald Van Fleet, the Director of Research and Planning in the State Department of Education; and the two former Deputy State Superintendents, Samuel Alexander (retired), and Raymond Barber, who resigned recently to campaign for the state superintendency for 1980-84. Their assistance highlighted that provided by the thirty-four candid and cooperative Kentuckians contact ed in person or by telephone on more than seventy occasions. While the study is intended to be useful to the ESA audience at large, there is an undeniable hope that it will be especially meaningful to those in the Blue Grass State.

Noble J. Gividen
Senior Consultant

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THE ESTABLISHMENT AND ABOLISHMENT OF AN ESA NETWORK: THE KENTUCKY EXPERIENCE

I. INTRODUCTION

A Unique Experience

Kentucky's first multi-service education service agency (ESA) network was initiated in 1972. By 1975 it covered most of the state. One year later, on July 1, 1976, it was dissolved, the victim of defunding, and no new or changed network was left in its place. That experience with the ESA concept is unique in recent American education history.

How was the network planned? What were its missions? Were there aspects of its establishment, organization, governance, funding and programs that foreordained its demise? What was the political environment in which the network was created, operated and subsequently eliminated? It is assumed that any insight that can be gained in the case of the Kentucky episode may be of future value to other states and groups interested in ESAs.

Case Study Procedures

Preliminary inquiry about the Kentucky ESA experience indicated that it would be necessary to contact the present State Superintendent of Public Instruction as well as his predecessor. Dr. Lyman V. Ginger, the former State Superintendent, readily agreed to talk about the regions and he suggested the names of other former officials of the State Department of Education (SDE) who should be contacted. The present State Superintendent, Dr. James B. Graham, was at first reluctant to see a controversial Kentucky issue revived. But he agreed the study might be of value to other states and could proceed if input from him and his department could be reviewed and approved in draft form before publication. Dr. Graham further agreed to a request for a consultant to visit Frankfort July 5, 6 and 7, 1978. The State Superintendent was scheduled to be away from his office on those days, but he invited the consultant to talk to staff members of his (the consultant's) choice. He arranged for Deputy State Superintendent Raymond Barber to talk with the consultant. Mr. Barber then appointed Dr. Donald Van Fleet, Director of Planning and Research, as the liaison person between the consultant and SDE. In addition to the interviews, two project instruments were utilized in the Kentucky probes. Available documents about the regions were also studied.

Interviews. Among the important people interviewed and/or queried in the three-day (July, 1978) Frankfort visit, in New Orleans (February 15 and 16, 1979 at an administrator's conference) and in phone contacts over an eight-month period were Dr. Graham; Mr. Barber; Dr. Van Fleet; Dr. Ginger and his former

Deputy, Mr. Samuel Alexander; Mr. Wendell Butler, current Secretary of the Education and Arts Cabinet and three-time State Superintendent (1952-56, 1960-64 and 1968-72); Mr. William Birdwell, current LEA Superintendent of Bourbon County Schools and former Director, Division of Regional Services; Mr. Donald Stephens, former Chairman, Assembly Education Committee and current Chairman of the Governor's Task Force on Education, and Mr. Jack Hall, Special Assistant to the Governor (Julian Carroll).

Approximately seventy contacts were made with thirty-four key people who included the nine named above, eight current and eight former employees of the State Education Department, seven LEA superintendents, a staff member of the Office of Local Government's staff for Area Development Districts, and a layman who is an ex-Chairman of the Vocational Advisory Committee of the state's Ashland Vocational District. Five of the past and present employees of the State Department of Education were also former directors of regions in the defunct network. Although several people who contributed to the study wished not to be quoted, all were gracious, all were generous with their time and most were eager to talk about the regions.

A large majority of the interviewees among current and former employees and among the superintendents were generally supportive of the regions. Although many were opposed to certain aspects, it was rare to find interviewees preponderantly opposed, except for three Ashland area contributors and the current State Superintendent and Deputy Superintendent.

Time and resources for this case study were quite limited. Accordingly, the interviews did not concentrate on topics that were explicated in other ways. Finance, governance and program descriptions exist in documents that were obtained from Frankfort. The interviews concentrated on establishment procedures for the regions and upon perceptions of reasons for their demise. The consultant did little to direct the interviews. It was not necessary. As interviewees recounted their experiences with and knowledge of the regions, few or no reminders were needed to get them to cover the central questions. How were they started? What was their mission? What did they accomplish? What contributed to their elimination?

Perceptions Probe. One major section of the instrumentation for the descriptive study of ESAs in twenty-six states was slightly modified to meet the unique Kentucky situation. Perceptions were sought concerning (1) proponents and opponents of the Educational Development Regions (EDRs), (2) advantages and disadvantages of EDRs when they existed, (3) major issues in their organization and management, (4) future programs for future regions, if any should be established, (5) future research and development needs, and (6) reasons the EDRs did not survive. Fifteen instruments were distributed. Former employees contacted included Dr. Ginger, his Deputy State Superintendent, the Director of Regional Services and four others. Present employees asked to participate were Dr. Graham, his Deputy and six others. Among the seven former employees, six responded. A former Associate State Superintendent did not respond. Among present employees, only the State Superintendent and a former Regional Director failed to respond.

Questionnaire. A questionnaire completed by SEA representatives in the descriptive study in twenty-six states was also used in Kentucky to acquire background data. Primary input on the questionnaire came to the consultant from Mr. George Dick, a finance official, and Dr. Van Fleet, Director of Planning and Research, and Departmental liaison for the case study.

Documentation

As indicated earlier, some of the interview sources cannot be revealed. Where possible and pertinent, speakers are identified by name and status. Throughout the report, however, there is a conscious effort to avoid footnotes and references unless they are needed for clarity, authenticity and/or further research. With one or two exceptions, the project consultant was able to obtain copies of relevant documents concerning the Educational Development Regions (EDRs), their planning, their operation and their elimination. Absent from the documents obained are the planning and achievement reports which, according to former employees, were developed to assist new SDE officials and the Joint Legislative Education Committee to determine the impact of the short-lived EDRs in their twilight months in early 1976. One official said he was unaware of these regional reports; another said they were probably packed away in "old file storage." Nevertheless, documentation of EDRs was generally excellent, and it was possible to develop a reliable description of almost everything about them except some of the debatable political factors associated with their demise. The major documents used in this study are listed here to add to the reader's perspective and to establish short identifying terms for use in the report.

Kenneth W. Burr, Halder Fisher and James R. Thomas, (Final Report on) Formulation of a Rational Regional Organization for Kentucky's School Districts (to Kentucky State Department of Education), Battelle Center for Improved Education, Columbus, OH, August 13, 1971, 56 pp. Identifying term: Battelle Report.[1]

Division of Research, Kentucky Department of Education, (Tentative) Kentucky Department of Education State Regionalization Plan for Educational Development Districts, Frankfort, April, 1972, 30 pp. Identifying term: Department Plan.[2]

Division of Regional Services, Kentucky Department of Education, ED Regions Policy and Procedure Guide, Frankfort, 1974, 128 pp. Identifying term: The Guide.[3]

Kentucky Department of Education, Kentucky Educational Development Regions . . . . Organizing for a Better Tomorrow, Frankfort, 1975, 60 pp. Identifying term: ED Development Regions.[4]

Executive Office, State of Kentucky, Kentucky Executive Budget, 1976-1978, Frankfort, p. 169. Identifying term: Executive Budget.[5]

Legislative Research Commission, Kentucky General Assembly, "Public Hearing on Kentucky Educational Development Regions", State Capitol, Frankfort, March 8, 1976, 6 pp. (Mimeographed record with approximately 30 pages of written testimony appended). Identifying term: The Hearing.[6]

The first four documents were office copies or they were in limited supply, not available from Frankfort upon request. The budget, from which a photocopy excerpt was used, is voluminous and, presumably, available for inspection only on the premises in Frankfort. The availability of the record of a joint legislative committee hearing on the regions, an oft-used document, is unknown.

Acronyms and Definitions

ESA: Education Service Agency is a public agency organized to serve a group of local education agencies (LEAs) and/or the state education agency (SEA) in the sub-state geographic region which encompasses the LEAs. In Kentucky, ESA is synonymous with RESA, ROPES, EDD or EDR.

RESA: Regional Education Service Agency, also known as the Kentucky Valley Educational Cooperative, was the forerunner of Region XII in the EDR network, and it was re-established upon the demise of the network.

ROPES: Regional Organization for Providing Educational Services was the designation for the first four regions in the Kentucky network.

ARC: Appalachian Regional Commission is a multi-state federal agency established in Appalachia to combat poverty and undereducation. RESAs in seven states were started and/or continue to be assisted with ARC funds.

EDD: Educational Development District was the designation first used for RESA, ROPES, and the other regions that made up the Kentucky network. It was supplanted by EDR.

EDR: Educational Development Region was finally used instead of EDD because the inclusion of "district" in the designation had the potential for being confused with school "district." EDRs were commonly referred to as "ED regions".

SEA: State Education Agency is the general term used for state departments of education or public instruction or whatever designation is used for the state agency responsible for elementary and secondary education.

SDE: State Department of Education is the SEA in Kentucky.

CSSO: Chief State School Officer is the state superintendent or commissioner. In Kentucky, the term State Superintendent of Public Instruction is used.

ADD: Area Development District refers to the fifteen Kentucky regions that work with communities and other non-school governmental agencies to plan and reach agreement on developmental activities related to federal programs.

Study Conditions

From the foregoing, it is apparent that this Kentucky study may not have the breadth the subject deserves. Extensive field interviews with LEA superintendents and former regional directors who are not currently employed by the State Department of Education were not possible within project resources. Instruments designed for other situations were adapted for use in Kentucky. Many of those interviewed in person and by telephone said, "Don't quote me," or "Don't use my name." Respondents were often reluctant to be identified even-though it was explained to them that the report would be essentially non-judgmental. Despite the consultant's agreement not to divulge sources when confidentiality was requested, the study is authentic as to what key actors said, perceived and conjectured about the establishment, operation and termination of the regions.

The timing of the report presented disadvantages and advantages. The look at Kentucky two years after the demise of the regions meant that some of the key people on the scene then were not available in 1978. Also, there was no reasonable way to acquire the statistical detail that would place the Kentucky network in a more precise relationship to its counterparts in other states. Digging much data from state files would have been arduous and, from regional files, impossible. Yet any national perspective of ESAs would be conspicuously incomplete without some account of Kentucky's regions. The story brings home the point that ESAs have a more precarious life than do LEAs. And it should lead ESA advocates in other states to ask themselves, "What lessons exist in the Kentucky experience for the establishment, governance, operation and funding of ESAs?"

II. SYNOPSIS OF THE DEVELOPMENT AND ABOLISHMENT OF THE REGIONAL EDUCATION NETWORK*

Developments, 1930-1970

The first formal education regionalism in Kentucky was that of the Kentucky Education Association (KEA). By 1930, eleven KEA regions existed. They became

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* Sources for this section include many interviews and various documents. The most important interview data came from phone talks with Wendell Butler, the former (three-time) State Superintendent, and two former senior SDE officials, Sam Alexander and Carl Lamar. Source documents of most help were the Battelle Report, the Department Plan and the 1976-78 Executive Budget. (See footnotes 1, 2, anc 5.)

thirteen when Louisville and Jefferson County were designated as KEA districts. The configuration for the eleven regions influenced configurations of other regions which came into being more than thrity years later. The first area vocational school opened in 1938. Other area vocational centers were created after 1947 in certain LEAs that served other districts in their areas. Under pressure from SDE to centralize control of these field centers, the LEA boards asked the state to assume operation of the centers in 1962, but it was not until 1968 that the fifteen vocational education regions were formally created. Except for one enlarged region, the statewide configuration was coterminous with Kentucky's sixteen Industrial Development Regions which operate out of the state's Department of Commerce. While Kentucky's development of vocational education preceded the Area Vocational School Act of 1963 and that of 1968, the formalization of the network accompanied the 1968 legislation, and was influenced by the federally-subsidized Industrial Development Regions.

In the meantime, federal legislation made possible the beginning of other service regions for Kentucky's schools. In 1958, the National Defense Education Act (NDEA) made media money available to the states. A large number of western Kentucky LEAs joined with Western Kentucky University at Bowling Green to form a resource center and media library that still exists. The Elementary and Secondary Education Act of 1965 precipitated the development of five or six "Title III Regions", which had expanded to eight by 1972. The configuration of these regions was similar to that of the KEA regions.

Of more import in the genesis of the network of Educational Development Regions under study was the 1968 creation of Area Development Districts (ADDs) by the executive order of the Governor. Formed to work primarily with non-school agencies, ADDs encouraged developmental activities related to federal programs. Each ADD constituted a forum to examine and prioritize needs and to reach agreement on programs for individual municipalities and the region as a whole. In its early years, however, the ADD network also wanted to become the planning agent for schools despite the intent of the Kentucky Department of Education to encourage educational planning through the Title III regions. The 1970 decision of State Superintendent Wendell Butler and the State Board of Education to conduct an indepth study of educational regionalism was, according to Butler, prompted by the development of the vocational regions and the Title III regions, and it was a defensive response to the ADDs, a move to preserve and protect SDE's jurisdiction over the schools. The Battelle Center for Improved Education was chosen to conduct the study.

Also giving impetus to the study was the 1970 formation of the Kentucky Valley Education Cooperative, with the encouragement and assistance of the Appalachia Education Laboratory and ARC funds. (This center at Hazard still operates, having preceded, shared and survived the four-year 1972-76 life of the EDR network.)

1971 Report

In August, 1971, Battelle's Final Report on Formulation of a Rational Regional Organization for Kentucky's School Districts was submitted to the Department of Education. This study represented the first comprehensive look at educational regionalism in Kentucky. The configuration it recommended for

Kentucky's regions was subsequently modified, but the arguments and criteria developed for the network were of great influence on SDE's 1972 Regionalism Review Committee. Perhaps its greatest impact was in suggesting the institution of one regional system to supplant the formal and informal systems that overlapped in configuration and operated independently of each other.

Developments 1972-1975

The assumption of the state superintendency by Lyman V. Ginger in January of 1972 marked the acceleration of the move toward a statewide network of multipurpose regions. Wary of the fragmentation he sensed in various uncoordinated and unrelated regions that existed, Ginger was initially inclined against the concept of educational regions for Kentucky. But some key staff members in SDE prevailed upon him to consider carefully the Battelle Report's implications. As a result, he assigned responsibility for a departmental study to the Division of Research and an intradepartmental committee. Their tentative study report, entitled Kentucky Department of Education State Regionalization Plan for Education Development Districts, was completed in April, 1972. The report became the basis for implementing one statewide regional system.

In June, 1972, the State Board of Education approved the State Superintendent's recommendation to endorse in principle the proposed plan for a state network of EDDs. Dr. Ginger and others in SDE started traveling about the state speaking to groups about the potential of the proposed regions. Over the next three years the complete network was essentially established, except for the district (XVII) at Louisville and Jefferson County and the district (VIII) at Lexington and Fayette County (see map, p. fifteen).

The importance of this budding network in the eyes of the State Superintendent and State Board was evidenced by the creation, in July, 1973, of the Division of Regional Services and the employment of Mr. William Birdwell as its first director. Mr. Birdwell, who had been Superintendent of the Simpson County LEA, was well-known among the state's superintendents. While his new position was not established at the associate state superintendent's level, as suggested by the Battelle study, he reported to and worked directly with Dr. Ginger and the Deputy State Superintendent of Public Instruction, Mr. Alexander.

In the State Biennium Budget for 1974-75 and 1975-76, the Governor and Legislature officially acknowledged the regions by approving approximately $1,500,000 for expansion and operation of the network. Ginger and Birdwell continued to meet with LEA superintendents throughout the state until the network was virtually completed with the creation of Region XV at Frankfort.

While the early regions were known as ROPES (IX, X, XI, XIII) and RESA (XII, the Kentucky Valley Cooperative), they were officially regarded as EDDs from the start. Toward the end of the network's quadrennium they gradually assumed the EDR label because it was more politic and less threatening to LEAs to have them know as "regions" rather than "districts". But the new network, thought by its advocates to be on the threshhold of blossoming into an excellent service agent for Kentucky, was doomed by the Kentucky primary election before the fifteenth region began to function in July, 1975.

Abolishment, 1976

In May of 1975, the Superintendent of Schools at Bowling Green, Dr. James B. Graham, defeated four years earlier by Dr. Ginger in the Democratic primary, was this time the winner. In Kentucky, winning the Democratic primary for State Superintendent has been tantamount to winning the general election, and Dr. Graham succeeded Dr. Ginger on January 1, 1976. (By state constitution, no State Superintendent may succeed himself.[7]) Although his views about EDRs were not well known before the election, it soon became clear that they were substantially different from those of Dr. Ginger. Dr. Graham simply felt that SDE could effectively deliver services without regions.

The SDE's 1976-78 "agency request" for the Kentucky Executive Budget was prepared under the direction of Lyman Ginger. Page 169 of that document shows the request for regional services at $1,611,104 and $1,639,519, or $3,250,623 for the biennium. By January 28, 1976, that request had been rejected and the appropriation eliminated entirely.

This action was a shock to many "pro-region" LEA superintendents. Their objection led to a March 8, 1976 "Public Hearing on Kentucky Education Development Regions" by the Joint (Legislative) Committee on Education. Without formal balloting, a majority was counted in favor of the new State Superintendent's and/or Governor's action to eliminate funding for the regions.

On July 1, 1976 the Kentucky EDRs ceased to exist, as did the Division of Regional Services. The vocational regions continued to function, and various bureaus in SDE re-established their own patterns for administrative and service convenience (guidance, field auditors, handicapped, food services, etc.). The Kentucky Valley Educational Cooperative resumed the operational character it had prior to the network's existence. It operates today, apparently in good health. In Ashland, the Title III region which preceded the EDRs and coexisted with them, continues to provide computer services to school districts. The Ohio Valley Educational Cooperative is somewhat a successor to Region VI. Its area is no longer completely contiguous, but it provides services in staff development, career education and group purchasing. Other collaboratives operate out of Western Kentucky University and Murray State University in staff development. Finally, there is the Northern Kentucky Education Consortium which operates out of the Campbell County LEA and provides staff development programs for nine LEAs.

The nadir of the regional network followed almost immediately its zenith. In July of 1975 there were fifteen operational education regions; one year later, there were none.

III. HISTORICAL BACKGROUND [8]

The Laggard Years

The Kentucky history of elementary and secondary education is replete with contradictions. In general, it does not reflect a consistent high value for education until the third quarter of the twentieth century. The foundation for a state system of schools and State Department of Education was laid in the 1837 and 1838 statutes that established the state superintendency, an ex-officio State Board of Education and a "common school fund." The state superintendency was to be filled every two years by gubernatorial appointment and Senate confirmation; the ex-officio state board consisted of the Attorney General, Secretary of State and the State Superintendent (as Chairman); the school fund was created from surplus federal monies given to the states. In 1850, after a dispute between Governor Helm and State Superintendent Breckenridge, the Constitution established the superintendency as a four-year elective office (no limit on number of terms), and it established an inviolate school fund. It alluded to the State Board of Education as the recipient of bonds of the school fund, but it did not establish the board as a constitutional entity. The 1850 Constitution, Kentucky's third, significantly advanced the cause of education, but that was not true of the Constitution of 1891. That document established the condition that the State Superintendent (and other constitutional officers) could not succeed himself in office. That archaic provision persists; it works against multiyear planning of significance and it tends to make every State Superintendent a lame duck in his last two years of the four-year term. The unique prohibition, absent in the other forty-nine states, has survived repeal referenda in 1921, 1953, 1957 and 1966. In 1951 a state commission recommended repeal to no avail. A private consulting firm made a similar recommendation in 1961. Five years later, despite widespread support, the proposition to change the constitution was overwhelmingly defeated.

Robert J. Breckenridge, the early hero in the history of Kentucky education, was the sixth appointed (1848-50) and first elected (1850-54) State Superintendent. He successfully opposed the Governor on funding, he recommended the establishment of the permanent school fund (achieved in the 1850 Constitution), and he recommended a funding program akin to later foundation programs in finance. But a century was to pass before any such step would be taken. In contrast to eastern states where public education advanced more rapidly, there was little local support for schools. Minimal state support started early in the state school system's history. Voluntary local taxation for schools has been allowed in Kentucky since 1830, but there was no requirement for common schools until after 1893. In 1895, State Superintendent Ed Porter Thompson wrote, "... local taxation, subject to the will of people, is a failure."[9]

Local demand for and support of education was quite limited and the state's stewardship of education remained essentially a one-person operation until the 1900's. The Department of Education (though created earlier) was not, until 1925, identified in statute as an organization of state government with defined services and personnel. In such a state, the leadership burden on the State Superintendents was awesome. Fortunately, the legislatures did not place great policy and operational restrictions on the superintendents, other than in funding the office.

In 1908, Superintendent Crabbe abolished most local districts and established county school systems as administrative units. This highly significant move was accompanied by the requirement that each county must have a high school by 1910, the same year that a county tax for schools was required. In 1934, twenty-four years after it was recommended by a state education commission and ninety-six years after the creation of the ex-officio board, a seven-member lay State Board of Education was established in statute.

In the 1930's Kentucky began to move forward in public education, and to test some of the ties that impeded improvement. A 1932 education commission, in a landmark statement, clarified the relationship of the state to local school districts. "All local powers are delegated by the state ... the inherent rights are state citizenship, not local citizenship ... Education is a function of the state ... local districts render services as agents of the state." A school code was adopted in 1934; a seven-member State Board of Education was appointed by the Governor; the State Superintendent and State Board were given wide authority, including accrediting rights, and the right of county and independent districts to merge was established.

But in 1939, constitutional limitations still blocked an equalization finance program and successive terms for the state superintendency were still forbidden. Forty percent of the teachers were certificated, the average teacher salary was $890 per year, and only 78% of the school-age population was enrolled in school.

The state continued to strain at its restrictions, however, and there were signs that it would soon emerge from the bottom of the educational rankings among the states (in expenditures, teacher qualifications, percent enrolled). In fact, its ascendency has been meteoric at times. In 1941 there was finally a crack in the constitutional limitation to flat per-pupil state appropriations. An equalization limit of ten percent was created and (in the late 40's) it was increased to twenty-five percent. By 1944, the local taxing power that started at two mills in 1910 had grown to fifteen mills, and the state enacted a three-million-dollar supplement for teachers' salaries, raising them to a median of $1,325 by 1946.

Breakthrough

Foundation Program. The long-awaited breakthrough in equalization funding came with the Foundation Program Law, 106 years after the 1848 recommendation of Robert J. Breckenridge. In 1954, under the first term of Wendell P. Butler as State Superintendent of Public Instruction, the proper combination of constitutional and statutory conditions made this phenomenal and historic change possible in Kentucky. In 1952, Butler had provided the leadership that led to the formation of hundreds of local advisory committees, involving an estimated 20,000 citizens. In 1954, the Foundation Program was funded at seventy percent; in 1956, at one hundred percent. From 1953-54 to 1960-61, Kentucky's increased investment in elementary and secondary education was 154 percent as great as that of its highest neighbor and 170 percent of the average national increase. But the state still had a long way to go.*

*As indicated earlier, Butler was State Superintendent three times, 1952-56, 1960-64 and 1968-72. Following each of his last two terms he was Kentucky's elected Secretary of Agriculture, another "non-successor" office. He is currently the appointed Secretary of the Education and Arts Cabinet.

Much of the impetus for Kentucky's continued advance came from the federal government's increased role in and support of public education. But the state also had a succession of education-minded Governors and good educational leadership at the state level, despite the constitutional albatross of non-succession in the office of the State Superintendent. At this writing, Kentucky is among the leaders of the states in equalization and in the percent of state support for elementary and secondary education.[11]

Regions of the 1960's. Changes at the state level were not limited to direct financing of the schools. Federal funds for improving the leadership and service roles of SEAs were accompanied by increased state support of the Kentucky SDE and an intensified effort to find effective ways for that agency to serve the LEAs. Thus, in the sixties the Vocational Education Regions of the state were created and formalized. (Area vocational centers had been administered by selected LEAs prior to 1962.) Title III (Elementary-Secondary Education Act of 1965) Regions were created and formalized, and several different and somewhat informal regional arrangements (i.e. auditors, food services, guidance, home economics) were created by SDE bureaus for administrative and service convenience.

In the late 1960's the Area Development Districts (ADDs) were created through the state's Office of Local Government (OLG). These districts threatened to assume a planning and coordinating role for the schools. "Proposed 1972 legislation for ADDs would have given them roles which logically belonged to the state education agency with authority and responsibility for the state's school districts."[11] Part of SDE's defense against ADDs was the Battelle study with its genesis in the 1970 decision of Wendell Butler and the State Board of Education to study educational regionalism for Kentucky.

The Import of Kentucky Education History

The immediate prelude and impetus to the study and creation of a statewide regional network in Kentucky grew from three main factors -- the demand for more effective and efficient SDE field service, the concern about overlapping and uncoordinated regions, and the need for a defense or response to the ADDs. But one must have a sense of the extent to which Kentucky has relied upon centralized leadership and direction in education to better see and understand the modern episode of the regions. Long after the eastern states had put their Indian wars behind them, Kentucky was still a wilderness state, its populace too preoccupied with Indians and with scratching a livelihood from the soil to think seriously about public education. There was no grass roots pressure for schools. Beginning under the first State Superintendent, J. J. Bullock, in 1838, acquiring citizen support and becoming institutionalized in the Constitution as a result of the (1848-54) giant contributions of Robert J. Breckenridge, the Kentucky state system of schools has continued inordinate dependence upon the leadership of the Superintendent of Public Instruction and, in this century, the State Department of Education. Only in such a state could a statewide network of ESAs be created under one State Superintendent and eliminated under his successor without a line of statute to direct or explain either action.

IV. REGIONS: THEIR ESTABLISHMENT, OPERATION AND ABOLISHMENT

(Note: In their brief 1972-76 history, Kentucky's new regions were known as ROPES, EDDs and EDRs. All three acronyms refer to the same evolving network, but this report generally uses EDRs, because that and the term "ED regions" succeeded ROPES and EDDs.)

Planning

The Battelle Report. The 1971 Battelle Report made important contributions to the development of new regions in Kentucky. "The broad aim ... was to formulate a rational regional organization for all State Education Department services in the Commonwealth of Kentucky."[12]

> Only a limited number of 190 school systems in Kentucky are in a position of effect needed changes in education. Many of today's educational problems are too complex and too vast to be solved by local school systems differing widely in their resources and procedures. Pooling of state and federal resources is often necessary for adequate leadership and services. Increasingly, state education departments are moving from a position of monitor of state educational standards and regulatory practices to a leadership role in which they act as facilitators of services to local school districts. The emerging patterns and practices of state-local partnerships are a natural means to developing a cooperative spirit so necessary for improvement in the schools. A true partnership between state agencies and local school districts will be a path of greatest yield to all.
>
> The regionalization of Kentucky's school districts has simply evolved over the years; it has grown up through expediency. Lacking an overall plan or rationale for organizing school districts within regions, each separate agency of the Kentucky State Department of Education has devised its own service organization pattern. These tend to fragment the total education thrust of the Commonwealth at a time when social conditions definitely underline the need for a greater degree of coordinated effort at both the state and local levels.

The report recommended a geographic configuration for one network of regions for Kentucky. That configuration was not later adopted but the criteria for its design led the SDE to develop a pattern with the same number of regions, seventeen, with boundaries similar in many parts of the state. An important Battelle criterion was equitable contact between the field and SDE. Other criteria were homogeneity (similarity in socio-economic and LEA pupil and expenditures characteristics), contiguity and accessibility. Accessibility referred to compactness, or ability of LEAs to interact with each other and with the regional agency; and ability of the region to interact with Frankfort. The last concern related to State Superintendent Butler's condition that SDE field staff should work out of Frankfort, but his successor, Dr. Ginger, took the opposite view, that the field staff should be decentralized.

Battelle also conducted a needs survey and prioritized needs in a manner directly useful to SDE planners. Curriculum consulting, program evaluation and vocational education headed the list of most important services (with acknowledgment that vocational education was already available in most areas). However, SDE wanted -- and Battelle recommended -- that the separation of general education and vocational education be terminated.

Finally, the report set forth an organization pattern in SDE that would enhance the effectiveness of the regions. Here again, SDE did not adopt the Battelle recommendations completely, but their impact upon implementation was unmistakable.

Among other things, these problems were listed (p. 6-7):

1. The then existing regionalization pattern was "... a multiple barrier to effective coordination of total activities of the Department." It contributed to "... inter-bureau fragmentation and communications breakdowns ... (and) ... duplicatory services, reports and unnecessary meetings."

2. There was, "A roadblock ... between the Department ... and the local school systems .. (which diminished) ... both the leadership and service role of the Department."

3. "Contrary to the State Board's philosophy concerning vocational and general education," the (pre-1972) organization encouraged their separation.

4. Because of that separation it was "virtually impossible" to orient the general curriculum to vocational concerns.

5. The regionalization pattern which existed represented " ... waste and inefficiency at the state level," and it damaged the ability and credibility of a Department dealing with the accountability of local school districts.

6. "It (was) difficult to try to deal with specific coordination and communication problems without first dealing with the regionalization problem."

7. LEA superintendents were attending too many meetings, hearing too many reports and seeing and hearing content duplication.

The report stated that, in Kentucky, "There seems to have been an assumption that if each unit (made) a serious attempt to meet the needs of its own limited area, education (would) continue to improve throughout the Commonwealth. The concept of education as a dynamic social system in which each subsystem is related to every other component of the system has been ignored."[13]

The report, consistent with expectations of the State Superintendent and State Board, recommended that one regional network be created, that it

replace all other regions and " ... that all services be conducted, coordinated, and continuously evaluated through the Regional Services organization as presented [14] ..."

Planners and organizational experts would have endorsed the recommendation in principle. But the implementation was not undertaken in a framework strong enough to withstand the opposition of those who would be unseated (particularly, some field people in the pre-1972 vocational and Title III regions) or those whose identities would be blurred in a one-network design. There is no evidence that Battelle was charged with developing establishment, governance and financial recommendations that would have enhanced the regional network's chance to survive and succeed.

The Tentative Plan. When Dr. Lyman Ginger came to office in January, 1972 he tended to be opposed to regionalization. He indicated that the multiple regional patterns were fragmenting and confusing, that some Title III regions were seen as overpolitical and not impartial in dealing with local districts and, finally, that Departmental credibility in the field was being damaged. The arguments advanced by Deputy Superintendent Sam Alexander and other senior staff members, however, caused Dr. Ginger to have second thoughts about the Battelle Report, and he ultimately embraced the one-network concept. Intensified SDE study and planning began. In April of the same year the tentative plan entitled, Kentucky Department of Education State Regionalization Plan for Educational Development Districts, was published. Utilizing the expertise of SDE's planning and Research Division, an intradepartmental Regionalization Review Committee, under the chairmanship of D. E. Elswick, devised a network plan which was a modification of Battelle recommendations and an adaptation of the configuration of the ADD regions. The plan was adopted in principle by the State Board of Education on June 16, 1972. The network configuration later implemented is shown on the following page. Other elements of the plan appear under "establishment" and its subsection, "criteria", on the pages which follow the map.

Establishment

On June 16, 1972, Dr. Ginger wrote the LEA superintendents:

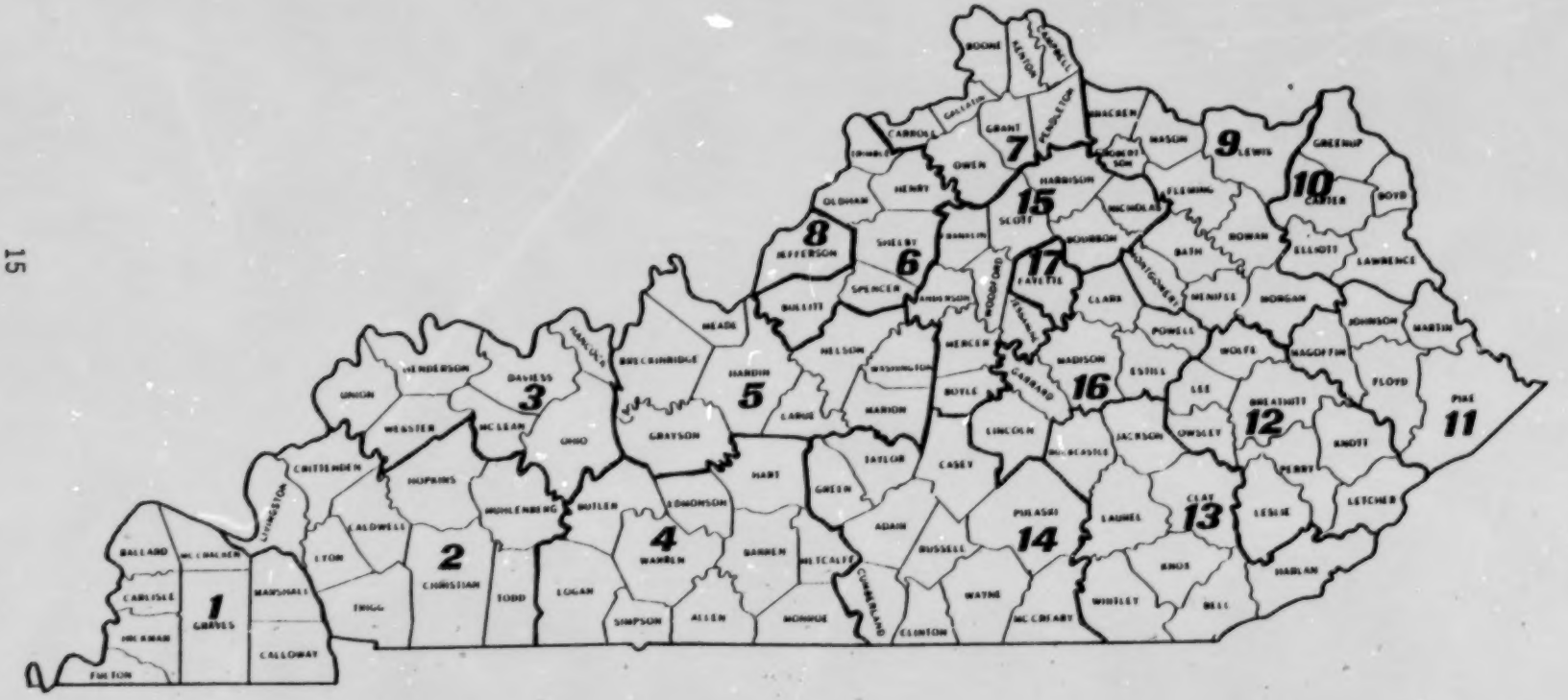
". . . the State Board of Education approved in principle Education Development Districts for elementary, secondary, adult, vocational, preschool, and all educational programs in Kentucky . . . to provide us the opportunity to experimentally test regional concepts this fall. Perhaps no more than two or three regions will be initiated during the coming year (there were three) and only then if superintendents in the districts would like to work with us on an experimental basis.

"It is my hope that these districts will serve as a beginning for better coordination of all education services provided by the State Department of Education and improved cooperative efforts among local school districts."*

*Succinct statement of purpose. (Underlining added.)

FIGURE 1

KENTUCKY EDUCATIONAL DEVELOPMENT REGIONS (EDRs), 1975-76*



*Regions eight and seventeen were not operational. Since each was a single LEA, the State Department of Education worked directly with the LEA staffs.

The letter furtner stated that:

". . . you and other superintendents . . . must determine the programs and policies your district (region) will pursue . . . It is not our intention to have Education Development Districts serve as intermediate districts between you and the Department of Education or my office, or to serve as a regulatory agency . . . this is an attempt to coordinate technical services of the Department . . ."

The letter invited comments and suggestions and indicated that Dr. Ginger and members of the SDE staff would be meeting with the superintendents ". . . on this important matter." Enclosed with the letter was the map of the proposed network.

No statute was enacted. This was consistent with the Kentucky tradition of giving the state education agency and its leaders considerable discretion in the management of the state system of schools. However, a 1962 statute, KRS (Kentucky Revised Statute) 65.210 to 65.300, provided for cooperation among public agencies and it was used by Dr. Ginger and Mr. Birdwell. They asked local districts in a proposed region to sign "Interlocal Cooperation Agreements" if they wanted to be charter members. The agreement, developed with the involvement of the SDE staff, the Attorney General's Office and Elwood Cornett, Director of the Kentucky Valley Education Cooperative (Region XII), and approved by the State Board of Education in 1973, contained a declaration of intent (to form a region), governance provisions and purpose. ". . . to provide a vehicle for conducting area educational planning, development and implementation on a continuing basis and to operate programs and provide services for the mutual benefit of the children and youth of the school districts participating..."[16] . . . The agreement also dealt with selection of programs, financial responsibility (of the Board of Directors), the pro-rating of costs, the length of the agreement, the disposal of joint property in case of dissolution of the region, and new membership.

Procedures. As summarized in ED Regions Policy and Procedure Guide, establishment procedures were are follows: [17]

1. Meeting of (SDE staff and LEA superintendents) to discuss establishment of regional office.
2. Review of Model Interlocal Cooperation Agreement.
3. Decision by LEA superintendents to organize region.
4. Resolution by individual boards of education to participate in EDR activities and to ratify the Interlocal Agreement.
5. Resolution by each board of education appointing the LEA superintendent to the EDR Board of Directors.
6. Each Interlocal Agreement, signed by the LEA secretary to the board, to State Superintendent for review, revision and/or approval.
7. EDR Board of Directors recommend to the State Superintendent at least two persons as candidates for employment as regional director.
8. Interlocal Agreement to Attorney General for approval.
9. Acquire site for operation.

Thus, the establishment procedure was not taken lightly even though it was not mandated. Effort was made to get the voluntary commitment of the LEAs. Meetings were held with groups of LEA superintendents who then persuaded their boards of education to pass resolutions to participate. Sometimes William Birdwell would meet with reluctant boards, but this was rarely necessary. When the network was completed, only Louisville, Lexington and a handful of others were not members. And in Louisville and Lexington (planned as VIII and XVII), SDE saw little need to implement regions. Instead, SDE simply met with local staffs to see how coordination between SDE and LEA could be enhanced and how state services could be improved for those two districts.

Fifteen regions, all except Fayette and Jefferson Counties, were formed by July, 1975. They were as follows: [18]

TABLE 1
THE KENTUCKY EDR NETWORK

Region	Office Location	Date of Establishment
Region I	Paducah	1973, December
Region II	Madisonville	1974, January
Region III	Owensboro	1974, April
Region IV	Bowling Green	1974, November
Region V	Elizabethtown	1974, August
Region VI	Shelbyville	1975, January
Region VII	Ft. Mitchell	1974, September
Region VIII	Fayette County	(was not established)
Region IX	Morehead*	1972, August
Region X	Ashland*	1973, July
Region XI	Prestonburg*	1972, December
Region XII	Hazard**	1973, September
Region XIII	Barbourville*	1973, April
Region XIV	Somerset	1974, October
Region XV	Frankfort	1975, July
Region XVI	Richmond	1975, May
Region XVII	Jefferson County	(was not established)

*These first four entrants into the network were first called "ROPES" (Regional Organization for Providing Educational Services).

**The fifth entrant had been described as a "RESA" (Regional Education Service Agency), it was entitled, "Kentucky Valley Education Cooperative", it predated the network and it continues to operate.

Criteria. The network represented by the above listing and the map on page fifteen had been formed after four alternatives had been tested against eight criteria. SDE's Regionalization Review Committee drew heavily upon Battelle's four, equitable contact, homogeneity, contiguity and accessibility; but additions and modifications resulted in the eight criteria shown in the "Criterion Measures and Tryout Limits".[19] (Table on page nineteen.) In this more comprehensive list, equitable contact was replaced by the three criteria, administrative dimensions, population measures and professional staffing measures. The homogeneity index was retained, with its components of percent of attendance, pupil-teacher ratio, local financial effort, percent of high school graduates in post-high school education, and per capita income. (Those components are from page 23 in the Battelle Report.) The accessibility concept, that ". . . all counties in a given region will be equally accessible from each other both directly and by all-weather roads," was translated into maximum travel distance from an LEA to the regional office and into the incorporation of common trade and recreational resources.[20] Related to the accessibility criterion but treated separately by the committee was compatibility, which specifically examined the congruence of a network to the ADDs. Contiguity was retained, no county could be separated from its region. The list of criteria was completed with the addition of supportive educational resources. The six criteria shown in the Table, "Derived Scores for Alternative Patterns", were accorded equal weight and the network possibilities, I and III by Battelle, the ADDs (II) and SDE's own recommendation (IV), were scored as shown. Omitted from the quantification but deemed critical in final judgments, were contiguity and compatibility. SDE's recommended network was implemented and in place by 1975-76.

Governance

Essentially, the Kentucky regions were a combination of the extension, or regional office, of the SEA and the education cooperative. The director and administrative staff together with people assigned by SDE bureaus were Departmental employees. Others were employed by the EDR Board of Directors and were completely under regional control.

Board of Directors. The following, concerning composition and authority of Board of Directors, is an abridged excerpt from pages 12, 13 and 17 of Ed Regions Policy and Procedure Guide.[21]

> The Board of Directors of the Region is composed of: the superintendents of participating LEAs, a representative of the ADD, representative(s) of the area community colleges and/or regional university, a representative of SDE, a representative from the Regional Manpower Commission, and a representative from the Regional Vocational Advisory Council.
>
> Board members have voting privileges only on those programs on which their agencies contribute personnel or other resources. Fifty-one percent of the voting membership shall be LEA superintendents.

TABLE 2

CRITERION MEASURES AND TRYOUT LIMITS [22]

Specific Criteria	Criterion Measures and Level of Application
I. Homogeneity	1. Index of Regionalization Quartile deviation above and below median rank (county)**
1. First Factor Loadings Rank	
a) Attendance Ratio	a) ADA to ADM
b) Teacher-Pupil Ratio	b) Pupils per Teacher
c) Support Ratio	c) Per Pupil exp. to assessed wealth
d) Continuing Education	d) Post H.S. Enrollment to graduates
e) Per Capita Income	e) Per Capita Income
II. Administrative Dimensions	
1. Administrative Units	1. LEAs per county within region
2. High Schools (Implementation Measure)	2. High schools per county and regions
3. Elementary Schools (Imp. Measure)	3. Elementary schools per county and region
III. Population Measures	
1. School Enrollment (1-12)	1. 20,000 - 60,000 (region)
2. Vocational Enrollment (9-12)	2. 3,000 - 9,000 (region)*
3. County Census Population	3. Minimum 100,000 (region) Maximum 300,000
IV. Professional Staffing Measures	
1. Total Professional Staff	1. 50 prof. staff/1,000 pupils (county)**
2. Total Voc. Ed. Staff	2. 20 prof. staff/1,000 pupils (county)**
V. Supportive Educational Resources	
1. State or Area Voc. Schools	1. Minimum 3 per region
2. Community Colleges, or	2. Minimum 1 per region } either or
3. 4-Year College or University	3. Accessible to region } both
4. ETV Transmitter, or	4. Minimum 1 per region } either or
5. Production Studios	5. As required to serve region } both
VI. Accessibility	
1. Travel and time involved	1. Travel distance to regional center - Maximum 45 miles one-way (county)**
2. Population choice	2. Trade areas, recreation, etc. (county)
VII. Contiguity (Implementation Measure	Maintain common geographic boundaries (region)
VIII. Compatibility	Maximally congruent with related development regions
*3,000-9,000 (or approximately 50% total secondary enrollment	**all county measures - 60% level per region for compliance - score based on number of regions in compliance as for region measures.

TABLE 3

DERIVED SCORES FOR ALTERNATIVE PATTERNS [23]

	Criteria and Tryout Measures	Alternative Groupings			
		I (17)	II (15)	III (23)	IV (17)
I.	Homogeneity (Index of Regionalization (60 % or more counties within quartile deviation limits)	88.2%	60.0%	*91.3%	82.4%
II.	Administrative Units (9-14) per region)	*100.0	53.3	26.1	76.5
III.	School Enrollment (Multi-county 20,000-60,000) Vocational Enrollment (3,000-9,000) Total Population (100,000-300,000)	80.4	73.3	56.5	*92.1
IV.	Professional staff (50 per 1,000 enroll.) Voc. Ed. Staff (20 per 1,000 voc. enroll.) (60 % or more counties equal or exceed measure-1:20.5 and 1:50.5 or less)	44.2	43.3	*50.0	*50.0
V.	Educational Resources	78.4	*86.7	68.1	85.9
	a) state or area voc. schools (min. 3)				
	b) community colleges or 4-yr. college or university (min. 1)				
	c) ETV transmission facilities or production studios (min. 1)				
VI.	Accessibility (travel to regional center 45 miles or less for 60% or more counties)	82.4	86.7	*100.0	88.2
	Average - unweighted combined score	65.2	67.2	65.4	**70.9

*Most adequate grouping for single criterion
**Most adequate grouping for combined criteria

Each LEA board shall decide upon which programs that LEA shall use. The LEA superintendent is the board's representative.

Colleges and universities provide invaluable advice and program assistance and their representation provides continuing linkage between LEAs and higher education.

Although monthly meetings are recommended, quarterly meetings are required.

Regional Advisory Council. In addition to the Board of Directors, each region was to have a Regional Advisory Council whose members were selected by the Board of Directors after consultation with the regional staff and LEAs. Names ". . . shall be submitted to the Superintendent of Public Instruction for his approval." Responsibilities of the Advisory Council included advice on program and on public relations, evaluation of programs, liaison and coordination with similar councils for vocational education and other social and economic development programs, and the submission of an annual report to the Board of Directors on EDR program effectiveness and suggestions for improved and/or expanded services. The Advisory Council had two required meetings per year.

Role Relationships. According to their interviews, Dr. Ginger and Mr. Birdwell deliberately built considerable ambiguity into the structure of the regions. They felt it was an appropriate characteristic for a communication and service linkage between the SDE and the LEAs. The regional offices were responsible to SDE, but they were also responsible to the Board of Directors. SDE's field guidance people, for example, were responsible to their bureau in Frankfort, but some regional directors acted as though guidance people reported to them. This uncertainty also affected some reading, math, vocational education people and others. But the most important person in an ambiguous role, and the key to good relationships among the regional staff and their good relationship with both the SDE and the LEAs, was the regional director. State Superintendent Ginger and SDE's Regional Services Director, Birdwell, were proud of the regional directors and thought they generally played a difficult role well. Those fifteen people represented a crucial link in building closer ties between LEAs and the SDE in a complex relationship. Loyalties to both agencies, to the state system as a whole, had to transcend those to one agency. But whether or not the roles were well carried out by the regional directors, they were resented by some bureau chiefs and others in SDE. Employees in Frankfort did not like field criticism communicated from LEAs to the SDE by the directors, and they distrusted field influence over bureau personnel. To a lesser degree, some LEA superintendents felt that the Boards of Directors did not have enough power. They questioned the state's credibility and were cool toward SDE influence over regional staff and programs.

The Ed Regions Policy and Procedure Guide tried to clarify roles of regional staff, regional boards and SDE in its section on "Management Direction and Processes for Regional Offices." Some excerpts with added parenthetical inserts follow:[24]

1. The Regional office units are planning, coordinating, cooperating, and operating units. (Not SDE administrative or regulatory units.)

2. The authority of the Regional Boards relates to planning, coordination, cooperation and operation . . . their relation to SDE is . . . (similar to) . . . that of a local school board.

3. The . . . Boards have authority over and responsibility for budgets for cooperative programs except . . . where sources of funding require shared responsibility . . . with (an LEA or SDE) . . .

4. The Interlocal Agreement . . . (legitimizes) . . . cooperative projects . . . and the existence of the Regional Board.

5. . . . powers . . .(of the Regional Board) cannot supersede (those of SDE).

6. . . . Local boards are not required to participate in all projects . . . but (their representatives on the Regional Board) may not vote on matters pertaining to projects in which their districts do not participate.

7. . . . Regional Boards have . . . authority (over) cooperative programs . . . they have an advisory relationship to . . . functions of the Regional staff.

(Regional Personnel)

1. The Regional Directors are members of the staff of the (State) Superintendent of Public Instruction.

2. (The State Superintendent delegates) . . . authority . . . for administration and coordination functions relating to Regional operations (to the Director, Division of Regional Services).

3. The Regional Director (the executive officer of the Regional Board) has line responsibility for . . . cooperative programs developed by the Board . . . and (for) enhancement . . . of bureau operated programs for the overall effectiveness of (SDE).

4. (Other) Regional staff . . . have line responsibility to the Director .. . in cooperative programs (but) line responsibility to bureaus . . . in bureau operated programs.

5. Bureaus have line authority over Regional staff . . . (working on bureau programs).

6. (The State Superintendent places heavy coordination and cooperation responsibilities on all, and directs the Director, Division of Regional Services, to) . . . focus in a primary way on the various aspects of (those responsibilities).

SDE made great effort to achieve a well-coordinated system. The Director, Division of Regional Services, held monthly meetings with the regional directors. Usually, middle management and executive staff participated in some portions of the meetings, and the State Superintendent would often "drop by" even when not directly involved in proceedings. SDE specialists were called upon when needed. Certainly, the SDE's attention to this young network exceeded that given by some other state agencies to ESAs that have existed longer and have been better financed.

Despite this effort, the roles of the regions were not universally understood and/or appreciated. William Birdwell said, "The Manual (Guide) described unusual roles. It was clear to Dr. Ginger, Sam Alexander (Ginger's Deputy State Superintendent), to the Directors and to me. Apparently, it was not clear to some others." Reading of the foregoing excerpt suggests, and some other interviews confirmed, the difficulty that many had in understanding the Guide and adjusting to new roles. Figure 2 shows the relationship between SDE and EDR personnel.

Finance

The early regions were started and maintained in the 1972-1974 biennium by the Appalachian Regional Commission (ARC) and other federal funds, and by the assignment of some bureau personnel to regional offices. Some of these had already been in the field under old regional configurations. Other staff were hired by the regional boards and supported by federal and/or local funds on special projects and "cooperative programs." Governor Wendell Ford (1972-75) was "pro-region" and encouraged the use of federal funds in the 1972-1974 years. The first recorded official action by the Governor and Legislature awaited state budget plans for the 1974-76 biennium. Approximately $1,500,000 of state money was appropriated to supplement some federal monies for the purpose of continuing existing regions and providing for the network's completion in 1975-76.

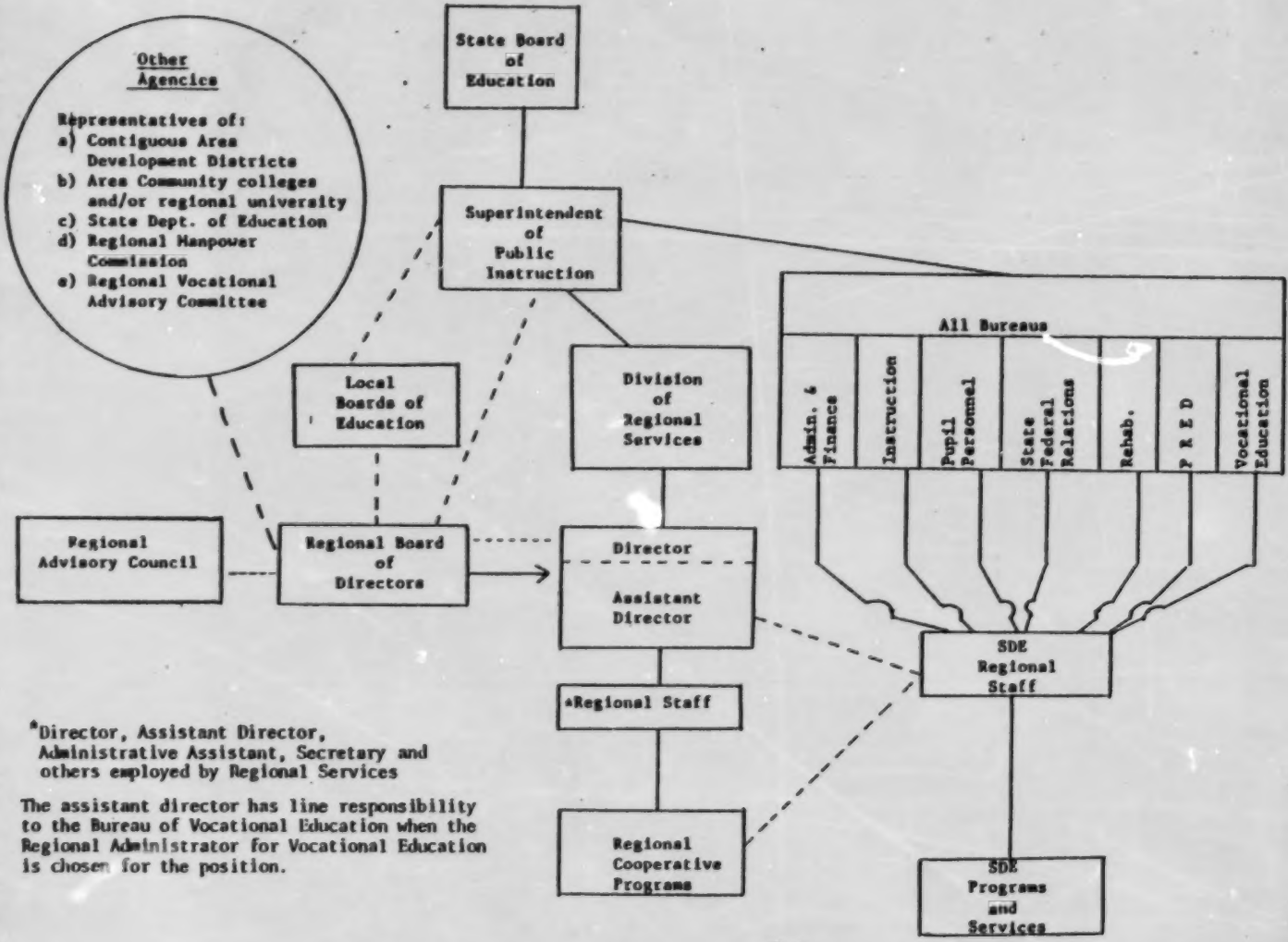
No precise finance figures were available from SDE during the consultant's visit there in July, 1978. William Birdwell (now the LEA Superintendent, Bourbon County Schools) indicated that the regions spent a total of almost $3,000,000 in 1975-76. The bulk of this was federal and local monies, and the state's only "new investment" was the $894,000 share of the biennial appropriation. This state investment was approximately two tenths of one percent of the $705,000,000 state appropriation for all of elementary and secondary education. The $894,000 did not include the support of vocational education and other bureau persons assigned to the field.

Staffing

It was the intent that each region would have a coordinating staff consisting of the director, administrative assistant or assistant director, a subject matter or curriculum specialist and a secretary. In most regions, the director of vocational education acted as the assistant director of the region.

FIGURE 2

STATE DEPARTMENT OF EDUCATION ORGANIZATIONAL CHART, 1975 [25]



*Director, Assistant Director, Administrative Assistant, Secretary and others employed by Regional Services

The assistant director has line responsibility to the Bureau of Vocational Education when the Regional Administrator for Vocational Education is chosen for the position.

In the summer of 1975, the network's fifteen regions reported a total professional work force of 101 persons, according to regional profiles.[26] The fifteen directors were accompanied by thirteen others paid by SDE and assigned to the Division of Regional Services budget. (The newer regions had not yet employed support staffs at the time of the report.) Among those thirteen persons were administrative assistants, reading, mathematics, special education and curriculum specialists.

Seventeen full-time professionals in special education, adult basic education, career education and driver education were hired by the regional boards with local or federal funds. Fifty-six professionals, including forty-eight in vocational education and five in guidance, were assigned to the regional offices by SDE bureaus. Region XII (at Hazard) had approximately twice as many employees as the average of the rest of the regions, with its twenty-nine professionals and paraprofessionals, most of the latter in adult basic education. The Region XII Board of Directors employed more persons in cooperative programs and special projects than all of the rest of the regions in the state.*

In 1972, prior to the network, SDE employed thirteen subject supervisors. At the height of regional operation in 1975, there were twenty-nine subject supervisors. After the demise of the regions in 1976, the number was reduced to sixteen. Currently, twenty-two such supervisors are on the SDE staff.

Programs and Services

The extent to which SDE got its staff into the field exceeded that suggested by counting bureau people assigned to regional offices. The regions were involved in the coordination and delivery of more than thirty-seven programs in their brief history. These programs included the Department's efforts to serve the field better, as well as the cooperative programs initiated and supported by the LEAs and/or federal monies. The program listing in Table 4 was compiled from SDE's program reports from the thirteen operating regions in 1974-75.[27] (The two newest regions, XV and XVI, were not yet operating programs at the time of the reports.) Program and staff development work in reading, mathematics and special education were more in evidence than any other program except the flourishing vocational education programs which were supposed to be operating out of the regions. The terminology "supposed to be operating out of the regions" is used because the vocational teachers were not listed as regional staff in ED Development Regions. This reluctance of the vocational people, except for administrators, to be so identified is symptomatic of the conclusions drawn later in this report about vocational education's adversary role toward the EDRS.

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*Region XII existed as the Kentucky Valley Education Cooperative before the new network was created and it continues today as an independent cooperative.

TABLE 4

A COMPOSITE LISTING OF PROGRAMS
PROVIDED BY EDRs IN 1974-75

Adult Basic Education
Adult Driver Education
Adult Vocational Education
Career Education
Coordinating Meetings (SDE specialists, calendar, state legislators and superintendents, OSHA, ADDS and other regional agencies, R&D dissemination from SDE)
Cooperative Purchasing
Counselor Training
Curriculum Consultation
Diagnosis Clinic (learning disabilities)
Driver Education
Drop-out Survey
Drug Education Workshops, Policy and Program Development
Federal Proposals (for LEAs and EDR)
"Field Input" Meetings (exchanges between SDE and LEA personnel re: SDE regulations, etc.)
First Aid Instruction Workshops
Improvement of Supervision
In-service Education
Mathematics
Materials Center
MBO Workshops
Microfilming
Needs Assessment (LEAs and EDR)
Planning Services (LEAs and EDR)
Practical Arts Improvement
Pre-school Testing
Psychological Services
Public Information
Reading (Consultation, Right to Read)
School Bus Safety
Self-study Materials for Advanced Students in Small High Schools
Special Education
Teacher Candidates and Vacancies (regional lists)
Testing Workshops
Textbook Hearings (regional meetings for publishers & LEAs)
Transportation (to state school for the deaf)
Vocational Education
Youth Employment Program

The EDR network was not a tentative undertaking. Aggressive state leadership made great progress in working with local districts to implement the regions, statewide, in three years. Even the most optimistic of the pro-region SDE personnel were surprised by the extent of regional programs in the fall of 1975.

Abolishment

Base Funding. The amount of the state appropriation for regions in 1975-76 was $894,000. This small amount of state money was supplemented by the pooling of some federal monies (i.e. PL 94-142 and Title IVC) distributed to LEAs via the state, by successful regional applications for federal grants and development projects (i.e. career education), and by the increased use of interlocal agreements for cooperative programs supported by local funds. While the total amount of money represented by regional operations was perhaps three times that of the state base funding, it was the base appropriation which held the regions together, which paid for coordination and overhead, and which provided the framework upon which other programming and funding was built. It was one thing for the LEAs to share money for services. It was quite another thing for them to share money to administer the regions. In other words, though the state appropriation was small, it was clearly the basis upon which the survival of the network depended.

The $894,000 for 1975-1976 was part of an appropriation of approximately $1,500,000 for the 1974-1976 biennium. The request for the 1976-1978 biennium was doubled. The percentage increase was large, but the increase in numbers of dollars was not. When it is remembered that the $894,000 was only two tenths of one percent of Kentucky's state expenditures for elementary and secondary education, the request seemed attainable to Ginger and Birdwell. They had little doubt that a substantial part of the requested 1976-78 increase for EDRs would have been granted had Lyman Ginger continued as State Superintendent of Public Instruction. The Kentucky consitution forbade that circumstance as it now forbids Dr. Graham's continuance in office beyond 1979. (During 1975, Julian Carroll, who had been the Lieutenant Governor, became Governor when Wendell Ford left that post to go to the United States Senate. Carroll was then elected Governor for the 1976-80 term. Dr. Ginger's confidence is based upon the understanding that there was no serious budget problem with the Governor and the budget office prior to the election.)

The SDE "agency request" and recommendation of Dr. Ginger for the 1976-78 budget was sent to the state's Executive Office prior to the November election. (An SDE official reported that budget requests which once were transmitted to the budget office in October have been moved forward to September.) The decision to defund the regions was made after the election, but early enough to be in the Governor's January 28, 1976 presentation to the Kentucky General Assembly. Table 5 is from page 169 of the Kentucky Executive Budget, 1976-78. [28]

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*Only Region XII, which was established longer than the other regions and which survived the network's collapse, could muster local money for administration. Another $75-80,000 of local money supports a shared driver education program. Mr. Cornett, Director of RESA, reports that the local money for administration of more than $500,000 in 1978-79 is only $33,000.

TABLE 5

REGIONAL SERVICES

	BUDGETED 1975-76	AGENCY REQUEST 1976-77	AGENCY REQUEST 1977-78	GOVERNOR'S RECOMMENDATION 1976-77	GOVERNOR'S RECOMMENDATION 1977-78
SOURCE OF FUNDS					
General Fund					
Regular Appropriation	894,080	1,611,104	1,639,519		
EXPENDITURES BY OBJECT					
Personnel Cost	586,940	1,002,620	998,720		
Operating Cost	295,500	562,484	616,533		
Capital Outlay	11,640	46,000	24,266		
TOTAL EXPENDITURES	894,080	1,611,104	1,639,519		
EXPENDITURES BY SUBPROGRAM					
Consultative Services	741,440	1,309,434	1,322,879		
Administrative Services	152,640	301,670	316.640		
TOTAL EXPENDITURES	894,080	1,611,104	1,639.519		

The Governor's presentation (January 28th) to the General Assembly contained this excerpt.[29]

> The Executive Budget for 1976-1978 does not continue funding for the Educational Development Regions. This does not reflect an abandonment of the regional concept, nor of the pressing need for closer coordination among districts in planning and implementing costly programs. The course outlined for the next two years is one of retrenching and redefining the basic approach to coordination among local schools and the state Department of Education. For now,.the regional boards will be maintained, but the staffs in each office will not be funded. Coordination with the regional boards will occur through the existing bureaus in the Department of Education.

A Different Philosophy. Kentucky elected Julian Carroll as Governor and James B. Graham as State Superintendent for 1976-80. Dr. Graham's philosophy about the regions was quite different from that of his predecessor. Like Wendell Butler, he did not favor assigning SDE personnel to regional offices.*

*Wendell Butler believed Kentucky should start education regions, but he did not believe SDE personnel should work out of them. Referring to Butler, the Battelle Report said, "We further assume, under specific instructions from the Superintendent of Public Instruction, that the SDE field staff will work out of Frankfort rather than out of decentralized regional offices." [30]

He believed that Departmental services are not improved by decentralization, and he did not want to continue a network characterized by considerable ambiguity. If regionalism were to continue, it probably should do so as a group of true cooperatives.

Dr. Graham had been the LEA superintendent at Bowling Green and, before that, at Ashland. Both districts were prominent in strong Title III regions, neither of which completely succumbed to the EDRs, as did some others. Their field governance was not strongly influenced by Frankfort, but their programming and funding required SDE approval. Dr. Graham, having participated in two Title III regions, apparently liked that arrangement better than the EDR structure and agreed with some other Title III advocates who opposed the new regions. It is still not clear, however, whether his disaffection for EDRs was expressed as the initiative to defund the regions, or as acceptance of initiative expressed by the Governor and/or Raymond Barber. (According to interviews, Graham indicated he would not terminate the regions immediately. He planned to evaluate them before making a decision.) The current State Superintendent describes himself as a conservative who places great emphasis on local control of education.[31] This explains his preference for cooperatives, with the LEAs in complete control.

At this writing, Raymond Barber says he is not "anti-region", but he readily admits to opposing EDRs, and he expressed some of his views with the preface, "I agree with the State Superintendent." His agreement relates primarily to the ambiguity associated with EDRs and he indicated that the control issue should be cleared up if they were to be recreated. "Either they should be entirely controlled by the superintendents, or they should be regional offices of the Department and controlled by the Department." In addition to sharing Dr. Graham's philosophy on some points, Mr. Barber used the language also used in one of the Governor's defunding comments, that the EDRs represented "... another layer of bureaucracy."

None of the interviewees attributed a "philosophy" about regions to Governor Carroll, but his initiative on political moves was not questioned. Certainly, among the populace not close to a particular agency, the elimination of something in government is popular. He had opportunity for a twin killing -- a budget appropriation and "another layer of bureaucracy." It is also speculated by some observers that the Governor and Legislature took note of the adverse publicity generated against "ROPES" by the Ashland newspaper. (Both the Governor and the newspaper continued to use the old acronym, "ROPES", when referring to the ED regions.) It is rare in government bureaucracies for the elimination of an operation to have the support of the officialdom in charge. It is not difficult to understand why a Governor who wanted to exert great influence over education might take advantage of this unique opportunity. Here is part of his defunding message to the press.[32]

> The regional services program (ROPES). . . began in 1972 as an experiment in coordinating services among local school districts and between the State Department of Education and the local districts. In effect, a layer of

bureaucracy was created between the superintendents of local boards of education and the program administrators in the Department of Education. It is this aspect of the program, the creation of another layer of bureaucracy, which led the Governor to recommend discontinuation of the regional operations, particularly since the Department of Education officials presented no compelling reasons for continuing the program.

Reaction to Proposed Defunding. Upon the announcement of the Governor's budget recommendation in late January, 1976, several LEA superintendents and regional directors were surprised and upset. Others were not surprised, having all along suspected that Dr. Graham was cool toward the ED regions or outright opposed to them. When inquiries were made in the Department about "why", the superintendents were told, "The superintendents don't want them." When some of those who were active in the EDRs (i.e. chairmen of the regional boards) heard this they decided to conduct a poll of the state's 182 superintendents on their support or nonsupport of the regions. At a meeting of LEA superintendents in February at the Farmers Bank Building in Frankfort, a report of the poll and discussion of EDRs were on the agenda. There is agreement (among four superintendents separately contacted) that 130 "pro-region" superintendents were reported in the poll, which was not complete. Some regions could not or did not reach everyone. To those in the meeting, the 130 represented "overwhelming" support. (Since all of the superintendents in Kentucky were not reached, an exact percentage of approval cannot be reported.) Superintendents in some regions were unanimous and in others, nearly unanimous. Only three regions, IV at Bowling Green, X at Ashland and IX at Morehead (in the Ashland "orbit"), were seriously split over the issue.

The reaction against defunding was so strong in the meeting that Superintendent Charles Clark of Floyd County called the Governor's Secretary (whom he knew), and requested an audience with the Governor for himself and five or six colleagues. The appointment was arranged, and the small group called on the Governor to express their disagreement with his recommendation. Mr. Clark described the meeting as follows:

> Governor Carroll seemed to listen to us with great interest. We explained the value of the ED regions and told him they were the most promising educational development in Kentucky since the Foundation Program, particularly in the impoverished districts of Eastern and Southeastern Kentucky. When we told him they offered the same potential for education that ADD regions offered for local government agencies, he said something like, "Umm -- somebody should have told me. If these regions are as important as you gentlemen say, they should not be dropped. I think I could find the money for them without cutting back on other commitments in the education budget. But I'll need backing. See the chairmen of the two education committees and tell them I want them to meet jointly on this. Have them call me if there is any question. If the joint committee agrees with you, I believe I can find money over and above the current level of funding."

> We thought the Governor was sincere, we thanked him and went to see Don Stephens and Nelson Allen, Chairmen of the Education Committees in the House and Senate, respectively. Seems to me we called both out of chambers. They listened with perplexed looks on their faces and, though somewhat wary and non-committal, they agreed to the joint committee meeting.

Charles Clark's foregoing account and the account of the hearing were corroborated in substance by three other superintendents who shared the experience. The only other "pre-hearing" item of note was agreement among these superintendents and two former SDE employees that there were rumors among some SDE employees that their salary increases were not as large as they should have been under Lyman Ginger because of "... the money that was appropriated for the regions." It mattered not that the rumor was patently untrue, the rumor influenced the attitudes of some SDE employees.* That, according to several testimonies in and out of the Department, added to employee resentment of the growing influence of the field. "We were prodding them to get off their butts," said one superintendent. "Ginger and Birdwell and a few others in the Department liked it, but many of them didn't. It was obvious that some resented attending our regional meetings when we asked for them."

The Hearing. In Kentucky, the legislature meets in regular session only in even-numbered years and then only for 60 days. The session starts early in January and closes around the middle of March. When the joint legislative hearing was promptly scheduled for March 8th by Representative Stephens and Senator Allen, the LEA superintendents knew that time was running short. They sensed the difficulty of getting a budget item restored after it had been dropped. Nevertheless, they were encouraged by their meeting with the Governor.

On March 8, 1976 the hearing room in the Court of Appeals building in Frankfort was full with an estimated 125-130 people in attendance.

> Dr. Jim Peyton, LRC (Legislative Research Commission) staff, stated the hearing would be conducted in the following manner: Each side would be allotted 30 minutes with each speaker being allowed three minutes to testify; only questions from members of the Joint Committee on Education would be accepted; only statements and questions germane to Kentucky Educational Development Regions would be be permitted. Those in favor would testify first.
>
> Representative Don Stephens, Chairman by mutual agreement, called the hearing to order and welcomed guests. He said the hearing was being held to obtain factual information to enable the Joint Committee on Education to make a recommendation on Kentucky Educational Development Regions' funding.[33]

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*SDE salaries are set by decisions affecting all state government employees.

A photocopy of the record of the hearing (from which the preceding two paragraphs were taken) shows, under the heading, "Individuals Who Appear Before the Committee", a register of the presenters "for" and "against" the regions.

For the regions: (In the order shown on the register)

Don Sparks, Superintendent, Mayfield City Schools, Chairman, Region I
John Ray, Superintendent, Dawson Springs City Schools, Chairman Region II
Charles Clark, Superintendent, Floyd County School, Chairman, Region XI
Elbert Hudson, Superintendent, Lee County Schools, Representing Region XII
W.M. Slusher, Superintendent, Bell County Schools, Representing Region XIII
Hugh C. Adams, Superintendent, Jessamine County Schools, Chairman, Region XV
John Vansant, Director, Vocational Education, Region IX
Frank Bickel, Regional Director, Region IX

Against the regions: (In the order shown on the register)

Harry Newman, Personnel Manager, Ashland Oil, Ashland, Chairman, Advisory Committee for EDR 10; Former Chairman, FIVCO Vocational Advisory Committee.
Ellis D. Harmon, Business Agent, Ironworkers Local Union #769, Ashland.
Denver Ball, Superintendent, Fairview Schools, Ashland.
Richard Hopkins, Superintendent, McLean County Schools, Calhoun.
Raymond Barber, Deputy State Superintendent of Public Instruction
Donald Bale, Associate State Superintendent for Instruction
James Melton, Associate State Superintendent for Administration and Finance.

According to the hearing record, Denver Ball did not speak at the hearing nor did he leave written testimony. The record contains written statements from Ellis Harmon and Harry Newman, but no account of spoken comment from Mr. Harmon. There were no written statements filed by the three representatives of SDE. Richard Hopkins filed a one-page list of figures which appears to be unrelated to regional matters. Four of the "pro-region" superintendents filed written statements and all eight of the advocates made oral statements.

The arguments of the advocates included the three main reasons the regions were created: better SDE service to the field, closure between general and vocational education, and greater sharing and cooperation among local districts. In addition to listing some educational services provided, one or two presenters also mentioned cooperative purchasing as a benefit.

Hugh Adams said that the schools in Region XV had accomplished more cooperatively in the six months of the region's existence than they could have accomplished in a year otherwise. In addition to listing programs underway and planned, ". . .he said that for the first time. . .in 25 years, he felt more a partner with the State Department of Education and not just a recipient of rules and regulations."[34]

W.M. Slusher said, ". . .regionalization is the opposite of bureaucracy, since it makes people feel a bigger part of the program."[35]

Elbert Hudson pointed out that a state investment of only $31,000 for the director, the secretary, and for office maintenance bought the coordination of a regional program costing more than $550,000. He indicated that cooperation on a regional level made possible programs that rural districts could not individually afford and, in some program areas, it made possible a level of program quality the districts could not individually achieve. "All in all, perhaps the greatest benefit for me is the opportunity to discuss with other superintendents similar problems and enjoy the mutual support in solving a problem on a regional basis."[36]

This excerpt from pages one and two of the hearing record is the recorder's account of Mr. Clark's testimony.

> Mr. Charles Clark . . . said that for the first time in history, local school boards and superintendents have had a regional voice in dealing with the State Department of Education and the State Board of Education; that rather than separately taking problems to Frankfort, they met collectively with people of the various divisions of the Department in the regions to swap ideas on dealing with problems and formulating plans for future actions benefitting children. He said that collectively, they qualified for federal grants which none of the seven school systems could qualify for individually. He also said that for the first time there has been complete understanding between elementary-secondary education and vocational education; that the regional idea is not just another layer of bureacracy, it is the best thing to happen to elementary-secondary and vocational education in the last decade and that it has just started showing results. He said to defund the program at this time would be to admit that Kentuckians cannot cope with regionalization.

The recorder's account of the presentations of those listed "against" the regions is quite brief. That account mentions only five presenters, even though two others signed the register and one of them (Harmon) filed a written statement. Three of the five presenters were staff members of the SDE. None of them offered biting criticism of EDRs. (This does not mean their posture was not effective.) Here is the recorder's account for Barber, Bale and Melton.[37]

> Raymond Barber, Deputy Superintendent of Public Instruction, stated that regionalization will not be phased out, but will be reevaluated and that funds will be directed in areas that the administration feels need attention. He said that unanimity was lacking among State Department of Education personnel and superintendents in support of the Educational Development Regions and that the most logical thing to do is to flow money to local districts.

> Don Bale, Associate Superintendent for Instruction, gave no objection to regionalization but expressed concern about their direction and the duplication and dual authority among the regional staff.
>
> Jim Melton, Associate Superintendent for Adminstration and Finance, said that he had not assigned any of his staff to regions since he felt they should be accountable to him and the Superintendent of Public Instruction.

The recorder then went on to say that Hopkins " . . .spoke against regionalization and stated that. . .he supported his (Dr. Graham's) budget, that he preferred that money come directly to the districts."

The statement of Ellis Harmon, the Business Agent from Ashland Ironworkers' Union, read in part,[38]

> ". . .The Governor, in concurrence with the Department of Education, has eliminated funding KEDR in his executive budget which indicates to us something we have known for some period of time, which is that KEDR, Region 9, 10 and 11, has failed to provide services that it was intended to provide to the unions, as well as industry. . . the unions have not had an opportunity for input, nor has there been any communications between KEDR, Region 9, 10 and 11, and the unions."

Although the recorder's account of Harry Newman's presentation is brief, his written statement is the longest one in the record.[39] The statement reflects the tension between some vocational people and the EDR in Ashland, it points to the Title III region as the correct one, and it hits hard at the "layer of bureaucracy" theme.

> We are not in favor of regionalization in the way in which it was introduced by the State Department of Education. Although it was to have been a service organization, in the area of vocational/technical education in particular, it turned out to be more of a regulatory organization. Although it was to be locally controlled, when an ex-officio board of directors was brought together to form Region 10, we found that the region had already been "formed", model bylaws written, and staff selected. Although we were told that regionalization was voluntary and would be locally controlled, we found that the bylaws we wrote and the approaches to staffing we recommended were simply not acceptable at the state level. Although we formed an ex-officio board that represented all concerns with education -- the school superintendents, representatives of labor, business, and industry, the Development Districts, the Community College, our regional university, and others, we discovered that "special" meetings were being called by representatives of the State Department of Education to

"inform" the school superintendents of how regionalization was to be introduced. Let me make it clear that not all members of the ex-officio board were invited to these "special" meetings.

While regionalization was to bring the services of the State Department of Education closer to the local districts, we found an additional layer of state bureaucracy being added between the local districts and the State Department of Education. While regionalization was to accomplish closer coordination between general education and vocational/technical education, the additional layer of bureaucracy was confusing and frustrating...in our region we had just completed a rather comprehensive five-year plan for vocational/technical education. This was accomplished through the cooperation of the vocational advisory committee, school superintendents, and an already existing regional vocational/technical administration. . .We felt we had reached a new level of regional cooperation and communication, and this cooperation was immediately shattered by the introduction of ROPES. . .

Perhaps we should look at why regionalization already had an acceptance in our region. We already had a smooth functioning regional organization for vocational/technical education with a five-year plan. We already had EKEDC (Eastern Kentucky Educational Development Cooperative), a consortia of thirty-two school districts. The original proposal for regionalization known as RESA was endorsed by our region. However, none of these things indicated adding a layer of bureaucracy reporting to the state level, reorganizing an already functioning regional vocational/technical organization or adding a state tax burden to the taxpayer. Therefore, while we obviously see the advantages of regionalization, we are not in favor of regionalization as we experienced it through ROPES. . .

For regionalization to be cost effective and successful, the regional staff should be employees of a local school district or the consortia of school districts. The staff should be answerable to the consortia rather than the state bureaucracy. The region should be large enough to be cost effective such as the eight regions that should have been functioning in Kentucky for the past ten years. The money should flow to the district and/or the consortia rather than to the state to be regulated and parceled out to the school districts. Obviously, participation should be voluntary. In addition, we believe that ways should be found to allow the regional vocational/technical administration to become a part of the larger consortia and to be more responsive to the local needs on a timely basis. Essentially the plan for accomplishing this already exists and could have been functioning through the eight Kentucky regions in existence for the past ten years. These regions can meet the criteria and do not add additional cost to the Kentucky taxpayer. Federal monies are available. We feel that legislation is not required. The State Superintendent of Public Instruction already has the means through

> which he can be responsive to a local consortia voluntarily forming a regional organization. The State Department of Education can promote and endorse regionalization without forcing it on the local areas.

Just as the testimony of the advocates of the EDRs had included the major reasons for their creation and their purported benefits, so too, did the opponents hit most of the arguments for their elimination. The dissatisfaction concerning the ambiguity ("dual authority") and the Department's desire to retain control was not emphasized nor eloquently spelled out. It was also contradicted by some of Newman's testimony that SDE did control the regions. But the mere fact that Barber, Bale and Melton appeared and were listed as "against" was significant. The "bureaucracy" argument was emphasized by Newman as was the Ashland claim that EKEDC and the vocational region made the ED region unnecessary.

Again, according to Charles Clark and the corroboration of three of his colleagues, there was no question about the favorable position of those who testified for the regions.[40]

> *Some of us represented the views of all or almost all of the superintendents in our regions. On the other hand there was reason to regard the testimony of the opposition as suspect. Half of their speakers were from the Department of Education. Raymond Barber, was "in" with Carroll and Graham, but Melton and Bale had been open supporters of the regions under Lyman Ginger. They may have expressed honest reservations about some aspects of ED regions, but neither voiced his overall support of the concept of regionalism. The one superintendent who opposed the regions in the hearing was a personal friend of Jim Graham from Western Kentucky. He didn't say much except, "I support Dr. Graham and his budget." Another superintendent was there but he did not speak. There were two others there from Ashland representing a vocational region that opposed ED regions, but I believe only one of them spoke. They were there because they opposed consolidation of the vocational region with ROPES to begin with, and they represented the views of a deposed vocational director and a vocal Title III director. You couldn't be sure whether Jim Graham supported their views about the regions or whether they supported his. Anyway, the hearing was decidedly in favor of the regions and we were confident the joint committee would support them. But for whatever reasons -- politics, opposition of the Department employees, the strong negative publicity from Ashland over the years or just differences in Dr. Graham's philosophy -- the hearing must have been

*This paraphrasing of a phone conversation was read back to Mr. Clark and checked with three other superintendents who participated in the hearing.

> just window-dressing. The joint committee did not recommend continuation of the regions, our confidence notwithstanding. Chicanery? I have often suspected the Governor of playing a game with us, of agreeing with the State Superintendent from the start, but I don't really know.

Charles Clark and his colleagues in the hearing were upset because Dr. Graham had "a convenient conflict" and did not appear in the hearing where the State Superintendent "should be expected to testify." And they were hurt because the associate state superintendents who had supported the EDRs and whom they all respected, testified against the regions. These partisans felt there was an air of vagueness concerning the regions throughout the early months of 1976. As one put it, "We were never positive just what happened or who did what." Some thought the hearing was rigged. Charles Chattin, the Ashland Vocational Education Director who was shifted out of that position when ROPES (the forerunner name of EDRs) was created and who was later reassigned to it by Dr. Graham,[41] said that the Senators and Representatives knew what they were going to do when they went into the hearing, but they were being polite and they listened. He said that the opposition from Ashland and from the rest of the state had convinced them that the new regions had to go out of business. (According to Chattin, the ten-person Vocational Advisory Committee in Ashland resigned in protest when the new region was formed in 1973 and sent complaining telegrams to Frankfort and Washington. They continued their opposition with the support of the Ashland newspaper.) Lyman Ginger admits that the Ashland opposition was vocal and visible, but adds that there was no similar opposition "from the rest of the state." Opposition among the dissenting superintendents included Denver Ball, Chattin's brother-in-law, who is the superintendent who signed the register at the hearing, but did not testify or submit a written statement.

Despite the suspicion of pro-region superintendents and the claim of Charles Chattin that the hearing was a polite charade, there were substantive claims to the contrary in the interviews. Don Stephens, who chaired the hearing, recalls simply that the testimony of the advocates was not strong enough to get the appropriation restored. Though the record suggests otherwise, Mr. Stephens' perception was that, "They emphasized cooperative purchasing. You don't need a region to do that and we were more concerned about services to the children and the teachers." A key observer and background participant in some of the officials' discussions concerning the regions was Dr. Donald Van Fleet, then the education liaison person to the Governor and the Legislative Research Commission, and now the Director of SDE's Planning and Research Division. He said, "The hearing was on the level. Some members of the committee were persuaded and voted to restore the regions. A majority was not persuaded. They apparently tried to balance service against cost and decided that maybe it wasn't worth it. After all, though the costs were not high, they were escalating rapidly. There was no rollcall vote, but the tally was fairly close. Had there been political arm-twisting the vote would have been more one-sided.

The Collapse. The Joint Committee vote sealed the fate of EDRs. No one knows what, beside the testimony itself, influenced the letgislators.

Certainly, no one emerged as a hero who claimed responsibility for "saving money" or for "wiping out a bureaucratic threat and unnecessary offices."* There continues to be mystery about the primary influence upon the defunding decision. Perhaps this case study and other deliberations about the discontinuation of the regions focused too much on the education community and not enough on the possibility of influence from the Office of Local Government (OLG). The ADD regions, which are responsible to OLG, were prominent in the minds of the educators when the EDRs were formed, in part, as a defense against the intrusion of ADDs into education. It would not have been surprising if OLG used its influence with a new administration to capitalize its coolness toward the regions.

At the suggestion of Wendell Butler, the three-time State Superintendent and current Secretary of the Education and Arts Cabinet, the project consultant interviewed an ADD official. Mr. Gordon Mullins, Regional Coordinator for ADDs in OLG, explained the purposes and program of the ADDs and commented on the existence and demise of EDRs. He indicated that,[42]

> . . .One of ADDs' primary functions is planning. But it is no longer feasible for an isolated agency to do planning. . .It has also been the policy for ADDs to stay out of the service delivery functions because this would be competing with other agencies. . .This will change. . .it has already done so in some other states. . .The EDRs failed because they had no real function to carry out. . .they did not get involved in the educational planning process. . . Because of the distrust among school officials ADD legislation was passed which told us to "stay out of education". . . Should EDRs be started up again? Something is needed. . . there are too many local school districts (especially in Northern Kentucky). . .Can they start another network without another layer of bureaucracy?
>
> School officials should be tied into ADD for technical and advisory assistance, at least. For example, we know when there will be skewed growth, school and recreational development should be planned together and shared. . .one of my gripes about the ED regions was that they said that they wanted to work with us, but it just didn't happen in most places.

Mr. Mullins said that the schools and ADDs could probably work together best if there were education regions that cooperated willingly with ADDs. Wendell Butler felt that Mullins was right, that ADDs probably would have preferred a close relationship with the ED regions rather than to see them eliminated.

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*Note the Governor's statement (p.28), "...the regional boards will be maintained...," (they were not maintained) and Barber's, "...regionalism will not be phased out...," (p.33). Both implied a temporary move. Apparently, no one wanted credit for the demise.

Yet Mullins' vocabulary when discussing EDR's sounded like that used by opponents in early 1976 and one must wonder if the ADDs were looking for an opportunity to get new business upon the abolishment of the regions. A person on the capitol scene at that time said that the real influence of OLG never came to light. That office, in some states an effective adversary of education, competes with the schools for money. It is politically powerful because of its involvement with all the mayors and other local and county officials, and it has the clout to effectively exploit "fortuitous circumstances." According to the consultant's source, OLG exerted quiet and effective influence that contributed to the defunding decision.

There is some feeling that the defunding decision was expected to be changed and that the State Superintendent and/or the Governor would produce an alternative to EDRs with some changes in the funding and governance. Dr. Van Fleet worked with some consultants in hastily designing an alternative because he understood that the regions were going to be changed, not eliminated. But the alternative plan was never released. Perhaps it was doomed by the joint committee's decision or because it was unacceptable to Dr. Graham and/or Governor Carroll.

Wendell Butler talked to Graham in early 1976 and suggested that he support some appropriation for the regions if he wanted to change them, because, "Once the money is taken out of the budget it is hard to get it back." But the regions were not continued beyond June 30, 1976. No matter how noble the intent and design of the ED regions in the minds of their designers and supporters, the network did not have the time to develop its potential. It had many advocates, but not enough for survival.

V. PERCEPTIONS PROBE

One major phase of the multi-state study of ESAs sought the perceptions of ESA executive officers and selected SEA officials concerning state systems of ESAs. In Kentucky, perceptions of former SDE officials as well as those of current officials were examined. The perceptions instrument used in twenty-six other states was slightly modified for use in Kentucky with reference to EDRs. It asked the respondents to indicate the following:

Part A: Who were the proponents and opponents of the initial establishment of EDRs (1972-75) and who were the proponents and opponents of the continuation of the EDRs (1976)? Furthermore, among the proponents and opponents, who were the most influential?

Part B: To what extent (from "strongly agree" to "strongly disagree") does each of twenty-eight statements represent an advantage or a disadvantage of EDRs, when they existed?

Part C: To what extent (including "not applicable" and ranging from "strongly agree" to "strongly disagree") does each of seventy-nine statements represent an issue concerning EDRs when they existed? [These statments were grouped according to establishment (10), governance (14), organization and management (6), finance (18), programming (8), staffing (9), facilities (3), SDE-EDR relationships (4) and LEA-EDR relationships (7).] Following the seventy-nine statements, officials were asked to write the one, two or three reasons that EDRs did not survive in Kentucky.

Part D: What services should be offered to whom if regions should exist in the future?

Part E: To what extent, if any, is each of ten research and development possibilities for regionalism of interest to Kentucky respondents?

Respondents

As indicated in the introduction, fifteen responses for each item were requested, including those of Dr. Graham and Dr. Ginger, the current and former State Superintendents, respectively, and their Deputy Superintendents, Mr. Barber and Mr. Alexander. From the two categories of current and former SDE officials a third group was established consisting of former EDR directors. In Kentucky, the EDR directors were also employees of SDE. Four of the five former directors contacted are now current SDE staff. Twelve of the fifteen persons responded as indicated in Table 6. Generally, replies were clustered into three groups -- former EDR directors (4), current SDE employees (3) and former SDE employees (5).

TABLE 6

CONTACTS AND REPLIES ON PERCEPTIONS INSTRUMENT

	Total		Current SDE Employees		Former SDE Employees	
	Contacts	Replies	Contacts	Replies	Contacts	Replies
State Superintendent	2	1	1		1	1
Deputy State Supt.	2	2	1	1	1	1
Dir., Regional Serv.	1	1			1	1
Sr. Finance Officers	2	1	1	1	1	
Sr. Planning and Research Officials	3	3	1	1	2	2
Sub-totals	10	8	4	3	6	5
Former EDR Directors*	5	4	4	3	5	4
Totals	15	12	8	6	11	9

Responses

Proponents and Opponents. Current employees of SDE did not respond to this part of the instrument. There was no polarization of replies from EDR directors and former SDE persons, thus the nine respondents were treated as one group. Table 7 clearly shows the switch in perceived proponency and opponency from the establishment period (1972-75) to the continuance issue (1976). All nine respondents saw Lyman Ginger as a proponent of EDRs; eight of them saw James Graham as an opponent; and six and five respondents, respectively, identified them as influential. All other positions in the table, except for the LEA superintendents and board members, follow a similar pattern. The 1975 election brought a new Governor and a new State Superintendent to office in 1976. There was also a different Deputy State Superintendent in 1976.

TABLE 7

PROPONENCY AND OPPONENCY*
OF ESTABLISHMENT AND CONTINUANCE OF EDRs
ACCORDING TO NINE RESPONDENTS

	Establishment (1972-75)		Continuance (1976)	
	Proponents	Opponents	Proponents	Opponents
Governor	7 + (1)	1		2 + (4)
Legislators	2			2
State Superintendent	3 + (6)			3 + (5)
Other Key SDE Staff*	(3)			2 + (3)
LEA Superintendents**	5 + (2)	1	7 + (1)	1
LEA Board Members	7		5	

*Numbers in the table which are circled indicate the number of respondents who marked particular persons or groups as "influential" proponents or opponents. The circled number should be added to any other number in the same box to get the total number of respondents who identified persons or groups as proponents or opponents.

*Under "proponents" were listed the Deputy State Superintendent and the State Superintendent's Cabinet. Under "opponents" were listed the Deputy State Superintendent and the SDE Bureau Chiefs.

**One respondent indicated that Superintendents of small LEAs were opponents during establishment, but proponents in 1976. Another identified the LEA oppnents in 1976 as "selected."

Advantages and Disadvantages of EDRs. Table A-1 in the appendix includes 107 items. Twenty-eight refer to the advantages and disadvantages of EDRs and seventy-nine refer to frequently cited issues. In consideration of the small number of respondents for these 107 items, the statistical results must be viewed with caution. Their primary value resides in the possible confirmation and possible refinement they lend to interview data. Throughout Table A-1 the means of the perceptions of three groups of officials were graphically represented to facilitate reading of the extent of agreements and differences among the groups. The graphic representation of the means generally agrees with the computer analysis of the response distribution for the twelve respondents. The replies with significant differences to the .05 level are indicated by (D) in the table. The next level of significance, from .05 to .10 is shown by (d). Although the n (3) for the current SDE officials is small, the mean is useful because the range of reponses was not great. For example, in advantages and disadvantages, all three current officials chose the same response sixteen times among the twenty-eight items.

The inquiry into the advantages and disadvantages of EDRs found the opinion of current SDE officials to be less favorable to the regions and generally more conservative. Rarely do the responses vary beyond the "agree" and "disagree" ranges. Also, the replies of this group tend to stand alone in contrast to the tendency of former directors and former SDE officials to share their more extreme "strongly agree" and "strongly disagree" responses in this portion of the perceptions probe. The replies of the directors were slightly more extreme in support of the regions than were those of the pro-region former Frankfort officials. Item twenty, "EDRs can be more effective than the SDE in helping LEAs to change the state system of schools," at .20, is out of the statistical range used for significance because of the intermediate views of the former SDE officials. But there is marked difference between the views of current SDE officials and those of the former SDE directors on this important claim of ESA advocates. Whereas current officials tend to disagree, EDR directors tend to strongly agree.

The distribution of the replies provides confirmation of interviews and telephone contacts. It shows that the groups tend to agree as often as they disagree, but that the differences in their beliefs in very critical items like resource use (1), quality of service (2), communication (8), dysfunction (12) and local control (13) provide part of the explanation for the elimination of the regions by the current administration. While there were no real surprises in these data, there is a reminder that the beliefs of the field directors in the "regional concept" matched or exceeded those of their former mentors and advocates.

Frequently Cited Issues. From the many issues which have concerned service agencies in half the states, seventy-nine were used in the Kentucky study. In Table A-1 they were grouped according to establishment, ten items; governance, fourteen items; organization and management, six items; finance, eighteen items; programs and services, eight items; staffing, nine items; facilities, three items; SDE-EDR relationships, four items; and LEA-EDR relationships, seven items. To the response scale used for "advantages and disadvantages" was added "not applicable." Once again the means of the three groups of respondents were plotted as shown in Table A-1, with (D) and (d) inserted to show where responses varied to the .05 level and to the .10 level, respectively. In computing means, respondents for "not applicable" were dropped (in 28 of 237 calculations). Item one under "staffing" was plotted as "not applicable" for all groups. (There is no such legislation.)

Perhaps the most striking aspect of this inquiry into "issues" is the rarity with which any of the three groups "strongly agrees" that something was an issue concerning the EDRs in Kentucky. One would expect that an environment which produced and then eliminated regions would have been characterized by controversy and by the surfacing of several issues, with at least, a few becoming prominent and emotion-laden. Apparently, however, aside from the strong criticism of the Ashland dissidents and the Ashland Daily Independent, the state was not embroiled in controversy about EDRs. The differences between the groups was, nevertheless, significant. In twenty-two of seventy-nine instances they met the .05 or .10 levels. There were, at least, five other differences worthy of note despite their failure to meet the statistical criterion of .10. The three groups tended to agree twice as often as they substantially disagreed.

In establishment issues, the hazard of statistical placement on only three responses is, perhaps, illustrated by disagreement among current SDE officials, that there are "too many" or "too few" EDRs, but agreement that the "geographic region of EDRs was too great." The differences in posture concerning establishment suggest that current officials lean toward the cooperative design rather than the EDR structure for regions. This is consistent with interviews of Dr. Graham and his senior staff.

There was statistical disagreement on half of the fourteen governance issues, with two of these departing from the previous groupings as the EDR directors stood apart from both SDE staff groups in the exclusion of non-public schools from advisory and governance groups (items twelve and thirteen). The difference expressed on item fourteen, though above the .10 level, tends to reflect the interview criticism from current staff members that lay boards for the EDRs would have been preferable, that the regions were run by professionals ministering to themselves.

The EDR directors and former officials did not find current officials agreeing with them on any of the six items under organization and management, although only the sixth met the statistical test. (Others were .13, .36, .32, .16 and .20.) That sixth issue, behavior of board members, is also an important governance question. Current officials are presumably again questioning the appropriateness of LEA superintendents as board members. Are they too "operation prone" to confine their EDR roles to program selection and policy matters?

In the first thirty issues and first three categories (establishment, governance, organization and management) the perceptions of the current SDE officials again stand alone, with more critical views of the regions than the harmonic responses of the former directors and former SDE officials in Frankfort.

Only four of eighteen financial issues show statistical significance in differences between the respondent groups. Three of these are a bit perplexing because they show the same pattern of responses to claims that EDR financing favored low-wealth, high-wealth and high effort LEAs. Since the Kentucky network was essentially seen as state-financed, favoring neither the rich nor poor, it could be described as "disagreement" that any LEA was favored, or as "agreement" that all were favored. Of more interest are responses to,

"SDE regulations for financing EDRs were too restrictive," and "EDR financing system was not reliable," items two and three. Standing apart from the views of current officials and former directors, are the contentions of former officials that the system was not "too restrictive" and that it was "reliable." While differences on the latter characteristic are not statistically significant, it seems that the stance of former officials is unexpected because the system, unsupported by legislation, easily allowed elimination of the funding. Yet the responses are consistent with interviews. Lyman Ginger and William Birdwell, for example, saw the approach to financing as sound; its failure to be supported by their successors, as unfortunate. The tendency of both the current officials and the former directors to agree that the system was too restrictive supports the view that the money flow should have been different, and it contrasts with the tendency of former SDE officials to believe that local districts had great influence over the EDRs.

Responses to those two finance statements illustrate a change in the group alignment. The heretofore congruence of the views of EDR directors and former employees has shifted. These former field persons here attain an intermediate position between the other two groups or depart therefrom to agree with current officials as often as with former ones.

There is close agreement among all three groups in their responses to programming, staffing and facilities. The exceptions under programming are found in items seven and eight. The EDR directors and current employees differ from former employees concerning the EDR program participation of nonpublic schools. In item eight, current officials do not share the view that EDRs were adaptable. There were no significant differences in staffing and facilities issues.

In sharp contrast to the three previous categories in the perceptions probe, there are five statistically significant differences within the last two categories. Under SDE-EDR relationships the views of the directors stand apart from those of the other two groups in terms of "SDE attention to EDRs" (2), and in terms of SDE resistance to EDRs (3) and (4). Interviews indicated that problems with SDE staff use of EDRs existed at the bureau rather than at the senior staff level. These instrument responses confirm the view of some LEA superintendents that the 1976 internal resistance of some SDE employees influenced or bulwarked the views of State Superintendent Graham and his deputy, Raymond Barber.

Only two of the seven LEA-EDR relationship issues show significant statistical differences, yet current officials agree with each of the seven negative statements and the directors and former officials, together again, disagree. Current officials portrayed the network as too costly (in terms of services rendered), bureaucratic (lack of LEA involvement) and coercive (LEA resistance to SDE and EDRs). Responses to item five, "LEAs not supportive of more state funds for EDR programs," reflect the different claims concerning the extent of LEA support in 1976 at the time of the Joint Legislative Committee hearing on the regions.

Concluding the survey of issues was an invitation for respondents to write in their perceptions of the one, two or three most important reasons for the abolishment of EDRs. One respondent declined, the other eleven

TABLE 8

PRINCIPAL REASONS CITED BY RESPONDENTS
FOR THE ABOLISHMENT OF EDRs

Cost

Program costs for EDRs were growing at a rate that detracted from the overall operation of the Department of Education. (1)

LEA Dissatisfactions

LEAs (were) not involved in planning prior to the inception of regional organization. (1)

The fact that the director and assistant director of EDRs were technically state employees and (required) approval by the State Superintendent caused some concern on the part of LEAs. (1)

SDE Dissatisfactions

Key (SDE) officials felt there was a loss of control to EDRs. (2)

Conflicts existed over the responsibilities of personnel. (2)

Kentucky's large and regulatory SDE perceived the EDRs as potential power bases for LEA superintendents who might then effectively pressure for fewer restrictions. (1)

The SDE viewed the EDRs as rival agencies, closer to LEAs and better able to provide needed services. (1)

Working relationship with SDE (was) not resolved -- EDRs became a threat. (1)

Lack of strong support (existed) within SDE from assistant state superintendents. (1)

(The EDRs) seemed to be caught in some kind of power struggle. (1)

Operation

EDRs sometimes acted too independently. (1)

The EDRs tried to accomplish too much too fast. (1)

Competition

Competition with Title III Regions. (2)

Other state agencies had been phased out, funds and services were picked up by EDRs. (1)

Change in State Administration

Change in state administration leaders -- they felt it (EDRs) could be a political threat. (1)

The newly elected Superintendent of Public Instruction was opposed to the regions. (3)

State Superintendent (newly elected) believed in local control, wanted all the money to go to LEAs. He did not understand the role and function of regional organizations. (1)

It took only the word of the Governor, Superintendent of Public Instruction and the Deputy Superintendent to abolish (the regions). Not even the State Board of Education was asked to act. (1)

Lack of understanding (existed) on the part of the Governor and legislators. (1)

produced twenty-four statements that were not included among the twenty-eight items listed under advantages and disadvantages or the seventy-nine issues that preceded this exercise. The reasons compensate for the limitations in the adaptation of a multi-state state instrument for particular application to Kentucky. Table 8 contains the reasons as written by the respondents, except for omitted statements which were almost duplicates of statements included from others. Numbers in parentheses in the table indicate the frequency of the statement. It is important to note that nineteen of the twenty-four responses obtained from eleven persons were in the categories of SDE dissatisfactions, competition and the change in state administration.

Possible Future Programs. The twelve respondents were asked to identify programs and services which should be offered in the future if they believed regions should exist. If they believed regions should not exist, they were asked to skip this exercise and proceed to the next one. Two of the three current SDE employees did so. One former director who believes regions should exist did not select any programs as he or she explained that programs ". . .should not be identified until after funding and operational questions are resolved." Thus, the tables which follow, 9 and 10, are based upon nine respondents -- one current official, three former directors and five former SDE officials.

Possible Research Priorities. For each of ten possible research areas replies were tabulated according to the three groups of respondents previously used and according to the importance level of the possible priority. Each level was weighted to enable computation of a cumulative score or total weight for each area. Table 11 lists the research areas in descending order of importance according to total weight. Table A-2 in the appendix shows the response distribution.

After a listing of programs and services which respondents believe should be offered if regions are re-established, the perceptions probe was closed with a tabulation of possible research priorities. Heading the list of ten perceptions according to weightings of the responses were a study of the cost effectiveness of regions and a study of their organizational effectiveness.

Summary of Perceptions Probe

Twelve of the fifteen people requested to participate in the perceptions probe did so. The nine who replied to proponency and opponency generally indicated that field people (the LEA superintendents and board members) remained steadfast in their advocacy of the regions through 1972-75 and through the time of the 1976 Joint Legislative Committee hearing on EDRs. (This would have been disputed by some current officials had they chosen to respond to this exercise.) The shift from proponency to opponency was most pronounced in the state superintendency, but clear shifts were also perceived in the governor's office and in SDE senior staff. Most of these people were part of the new administration which came to office in 1976.

TABLE 9

RESPONSES OF THOSE WHO BELIEVE
CERTAIN EDR PROGRAMS SHOULD BE OFFERED IN THE FUTURE (n=9)

	Number of Respondents	Programs Which Should be Offered
Direct Instruction		
	9	Handicapped
	4	Vocational
	8	Adult Education
	3	Bilingual
	5	Pupil Personnel
	3	Pre-Kindergarten
	7	Migrant
	4	General Academic
	1	Other (Gifted)
Indirect Instruction (Instructional Support)		
	8	Media
	9	Curriculum Services
	9	Staff Development
	7	Data Processing
	8	Research & Development
	9	Planning Services
	4	Pupil Personnel
	8	Federal Programs
Management Services		
	8	Staff Development
	7	Data Processing
	5	Financial Services
	7	Research & Development
	7	Planning Services
	8	Evaluation Services
	7	Federal Programs
	5	Personnel Services
	6	Transportation Services
	8	Information Services
	7	Legislative Services
	1	Other (Group Bidding)

TABLE 10

PERCEPTIONS OF RESPONDENTS CONCERNING POSSIBLE FUTURE PROGRAMS OF EDRs FOR THE STATE DEPARTMENT OF EDUCATION AND OTHER PUBLIC AGENCIES (n=9)

Category of Programs	Number Favoring Services for SDE	Number Favoring Services to Public Agencies Other Than SDE and LEAs
Instructional Services	7	5
Staff Development	8	5
Data Processing	6	5
Financial Services	3	4
Research & Development	7	6
Planning Services	7	5
Federal Programs	7	5
Legislative Services	8	5
Teacher Certification	2	(excluded)
Information Services	7	5
Field Audits	2	(excluded)

TABLE 11

RANKINGS OF POSSIBLE RESEARCH PRIORITIES
(Highest possible total weight = 48)

Ranking	Possible Priorities	Total Weight
1 - 2	Cost effectiveness (3)*	35
1 - 2	Organizational effectiveness (4)	35
3	Criteria for allocation of functions (7)	28
4	Attitudes of LEAs (1)	27
5	Alternative finance models (6)	26
6 - 7	Role in intergovernmental relations (10)	22
6 - 7	Equal accessibility to regional programs (2)	22
8	Alternative governance models (5)	21
9	Design requirements for non-metro regions (9)	17
10	Design requirements for metro-oriented regions (8)	14

*Numbers in parentheses refer to priority number in Table A-2, p. 70, 71.

The distribution of the replies of the twelve participants was analyzed for statistical significance on 107 items covering advantages and disadvantages of EDRs and issues concerning EDRs. There were significant statistical differences on twenty-nine items. Replies were also broken into three groups according to respondents, and the means were plotted for each of the 107 items. The graphed means agreed with the statistical differences and revealed a few other contrasts and agreements worth noting. The results reinforce the interview data and, while outnumbered two to one by general agreement, critical differences are identified. Political issues were not included in the seventy-nine issue statements, but they and the "power concerns" in SDE were among the abolishment reasons formulated by respondents in response to an open-ended question.

After a listing of programs and services which respondents believe should be offered if regions are reestablished, the perceptions probe was closed with a tabulation of possible research priorities. Heading the list of ten perceptions according to weightings of the responses were a study of the cost effectiveness of regions and a study of their organizational effectiveness.

VI. OBSERVATIONS

There is no parallel between the fate of the EDR network in Kentucky and the fate of regional networks in other states. Some states have eliminated the county superintendencies as service agencies, but they were succeeded by new networks deemed more suitable for today's needs. Even in Ohio where there are multiple and overlapping networks, each one has had a longer life than the EDRs. It is the intent of this section to explain the uniqueness of the Kentucky experience by discussing possible weaknesses of the regions and the Kentucky governmental arrangements for education.

First, however, it is appropriate to put the discussion in proper perspective. There was much to commend the state about its EDRs. The planning was excellent. Very meager resources were stretched creatively, and the State Superintendent and certain of his senior staff were uncommonly committed to the regions. Lyman Ginger created a Division of Regional Services, a step that greatly aided the regions despite some resentment within SDE. He and his Regional Director, William Birdwell, worked to get increased funding for the regions, but they did not measure the effectiveness of the regions in terms of expenditures. They sensed that communications within the state system of elementary and secondary education were improving and that LEAs were learning to work together better. Dr. James Graham, the current State Superintendent was the most important critic of the regions. Yet he observed that, "They helped the LEAs to raise their sights and improve their perspective."[43]

Other important evidence of the success of the regions resides in the considerable number of field programs initiated in a short time, in the testimony of clients as well as the testimony of those who provided the service, and in the remarkable spread of the network--statewide in four years through voluntary establishment procedures. It is likely that the EDRs would be alive and growing in any other state.

If these statements are essentially true, why all the hindsight judgment which follows? It may seem presumptious for an observer to talk about Kentucky's mistakes when it did so many things well. Yet therein lies the value of the case study. The Kentucky experience offers great opportunity for other states to study and improve their models of existing or planned ESAs. The study may also prove useful if Kentucky should undertake the establishment of a new regional network or the re-establishment of EDRs.

Establishment

Plan Participants. This post-mortem report suggests that, had time permitted, more grass roots involvement in planning the EDR network would have increased the number of its advocates and enhanced its survival. The signal restriction for educational planning in Kentucky is that planning and action be completed in four-year cycles if it pertains to major programs requiring the advocacy of the State Superintendent. The time constraints on early planning are enormous.

Dr. Ginger invited selected LEA superintendents into SDE before the tentative state plan was taken to the State Board of Education. Their general reactions were favorable and the plan, after adoption by the board, was implemented. Perhaps the 1976 advocacy of the LEA superintendents would have been even stronger than claimed if they had been represented on SDE's Regionalization Committee. One could also make a case for involving and seeking the support of the Kentucky Association of School Administrators (KASA), The Kentucky School Boards Association (KSBA) and the Kentucky Education Association (KEA). SDE officials may not have wanted to jeopardize their intentions with such sharing, but it is likely that formal support of those agencies in 1976 would have preserved the regions. Perhaps the most important omission from the planning and participation in the establishment of the regions was representation from the Kentucky Legislature. Kentucky is not the only state in which state education agency planners and researchers sometimes work in relative isolation, apparently unaware of the activities of their equally isolated counterparts on the staffs of legislative committees. But the issue of the regions and their establishment provides an embarrassing example of non-communication and non-involvement. SDE's "State Regionalization Plan" does not mention Research Report No. 62 in the text, nor does it list the report in its bibliography. [44,45] In the course of the study, not a single present or former SDE planner mentioned it. Yet this report of the Legislative Review Committee (LRC) devoted sixteen of its twenty-six pages to the subject of educational regionalism and it recommended that, ". . . multi-district regional educational service agencies (be created) to supply needed services to . . . districts, to be under their direct control, and to be funded both directly by the state and indirectly through the Foundation Program." The report further suggested a model of a regional agency "suitable for Kentucky." The report was finished in December, 1971, on the heels of the Battelle Report that was completed for SDE in August of the same year, and just ahead of the SDE plan that was finished in April, 1972. The LRC report made no mention of the work of Battelle or SDE, and the SDE plan does not mention the work of LRC. The potential value of Kentucky's planning documents on regions -- that from LRC as well as SDE's plan--was partially neutralized by their isolation at a time when they might have been complementary.

Nonstatutory. The absence of a statutory basis for Kentucky EDRs made them particularly vulnerable. Had the regions been created in statute there would have been previous involvement and commitment of the executive and legislative offices. Their abolishment would have required action of the entire legislature and the corresponding necessity for individual legislators to contend directly with regional interests at the grass roots level. It is unlikely that they would have been disinterested in the regions or inclined to eliminate what they had created in quite recent history. The absence of statute allowed the State Superintendent and the Governor to eliminate the regions with a single defunding action and without significant political risk. The tight time constraints under which Kentucky had to operate were very unrealistic. But an alternative to the procedures used by SDE might have been to seek legislative approval in 1974, after longer and more detailed planning, with the involvement of legislative representatives and with the goal of establishing the network in one fell swoop.

Governance and SDE-EDR-LEA Relationships

Lay Involvement. One current member of SDE who has held an important post in school finance for several years observed that there were many good things about the regions and some critical weaknesses. Chief among the latter, in his opinion, was the charge that, "They represented a bunch of professionals doing things for themselves." He was referring to the fact that EDR boards of directors were composed primarily of LEA superintendents and that the lay involvement considered critical to LEA governance was missing from EDRs. This observation was supported by Mr. Barber, the current Deputy State Superintendent, and others.

One former director said, "When they first introduced the idea of the regions in our part of the state, the LEA board members were not even invited to the meeting. It was composed of superintendents, ADD and college reps." Harry Newman, (layman from Ashland), reported to the Joint Legislative Committee at the March 8th (1976) hearing that, " . . . we discovered that 'special' meetings were called by . . . SDE to 'inform' the school superintendents of how regionalization was to be introduced. Let me make it clear that not all members of the ex-officio board were invited . ."

The SDE planners of the regions thought that the LEA boards would be informed through their superintendents and through the approval process for the interlocal agreements. In continuing governance, however, it was contrary to traditional policy and accountability modes in public education for the professional EDR boards to be free of the responsibility to report to lay groups. Either the EDR boards should have been composed of lay citizens or there should have been some responsibility to report, at least one to four times a year, to an assembly of LEA board members. The absence of such provision may have made the EDRs suspect and it may have deprived them of advocacy in 1976.

Ambiguity. The ambiguous character of EDRs was deliberately designed. It was advocated and constantly reinforced by Dr. Ginger and Mr. Birdwell on the assumption that the regions should develop into the critical interface between

the state and local levels, that they should improve communication between the two levels and improve their coordination. They did not intend that the regions and their directors should control LEAs in any way. They also felt that ambiguous roles, though sometimes difficult to play, are necessary at strategic places in complex modern organizations.

Ambiguity, like other possible weaknesses attributed to EDRs by the project consultant, did not kill the regions in and of itself. One could mount a reasonably good argument, on balance, that the concept was successfully implemented by the EDR directors. But it was perhaps carried too far and it became critical in a young system with other health problems.

Bickel points out that, "The issue of governance surfaced early in the organizational stages of the pilot RESA's (EDRs). Many superintendents were skeptical about the potential roles that this new organization might assume, without, from their standpoint, safeguards to protect local control."[46] Bickle (who concluded that there was no real immediate threat to local control) was director of one of the few regions with serious dissidence among the superintendents. Region IX was in the Ashland orbit where opposition to EDRs was strongest. This leads to two observations about the attitudes of Kentucky superintendents about the regions.

1. Most of the superintendents favored the regions and many were vocal advocates. Even in the Ashland and Bowling Green areas there were more proponents than opponents. According to the testimony of some directors, however, the majority of the superintendents were probably not deeply committed to the regions. More time was needed to develop depth of commitment.

2. The critical element about opposition among LEA superintendents was not numbers of opponents, but their effectiveness in a political environment where one of their members and sympathizers was the new State Superintendent of Public Instruction.

The ambiguity issue cannot be laid aside with a discussion of LEA reactions to EDR. It is a sticky matter that must be dealt with wherever ESAs exist or are contemplated. It may be the most critical aspect of the quality of the linkage between the state and local levels. On balance, Kentucky seems to have done well in two aspects and not so well in two others. Though the views of a minority of superintendents helped bring them down, the regions fared well by most superintendents. They were also fortunate enough to have the ambiguity role reasonably well played by most regional directors.*

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*This was attested to by several in the interviews, including Ginger and Birdwell. One director felt that most directors needed training and more insight into two critical requirements for the directors--the ability to work properly between two masters (the SDE and the LEAs) and the ability to be an effective group leader (with LEA superintendents and others). The weight of testimony, however, is that most regional directors were reasonably capable and successful in their jobs.

Less successful in dealing with ambiguity were the other workers in the regional offices and the SDE employees in Frankfort who resented the growing influence of the LEAs through the regions. The expectation that several people on the regional staffs (vocational educators, special education staff and others paid by the state but serving LEAs) might handle the dual authority condition well or cooperatively play second fiddle to the regional directors was not supported by general practice. Only in Kentucky were several people on the state's payroll meeting with others on regional payrolls in an environment with a board of directors (LEA superintendents) invited by the state to make program decisions. Unless considerable experience elsewhere proves otherwise, this appears an intolerable structural characteristic.

According to the reasons for abolishment advanced by participants in the perceptions probe, disaffections for regions among SDE staff made considerable contribution to the regions' termination. Their complaints were legitimized when a new State Superintendent and Deputy Superintendent assumed office, and SDE was not perceived by some as a hospitable environment for senior staff with strong pro-region views. The political environment notwithstanding, the lack of agreements and understandings about the proper relationship of the regions and the SDE was a more serious matter than was realized at the time. It would have probably been much less serious in an environment where the chief state school officer does not change every four years. The life of the regions was too short for these working relationships to be forged, especially in view of the particular structure of the EDRs.

EDRs were structured as a combination of extensions of the state agency and as cooperative ESAs. The ambiguity appropriate for the regional director was thrust upon too many people, some of whom were losing power and prestige because of EDRs. This would not have been a disastrous condition in a different environment or with more time, but it probably was the most serious flaw among those that contributed to network fatality in Kentucky. Had the regions survived, their good health would have depended to considerable extent upon proper adjustment of their structural ambiguity.

Funding

Level of Support. Kentucky stretched a few federal dollars into service regions and persuaded the Governor (Wendell Ford) and the legislature to supplant and increase those dollars in 1974 to complete the state network and extend services. They were thought to be on the threshhold of greater service with the anticipated doubling of state resources. But even the doubling would still have left them with meager assets.

Apart from the maintenance of the vocational regions, the entire Kentucky network's allocation from the state, $894,000 (1975-76), was less than the expenditure of each of one-third of the ESAs supplying financial data in the twenty-six state survey. (More than 115 ESAs out of 314 respondents spent more than $1,000,000 in 1974-75.) The statewide investment was so small that the defunding of the network was not a major state financial decision. The vested

interests generated by $894,000 were not great enough to mount serious opposition to its elimination. If the regions are ever to be recreated or if a new type is to be established in Kentucky, thought should be given to a level and scheme of support that will enhance their success.

Money Flow. Most of the EDRs' ambiguity problems would have been minimized if the state had sent money instead of people to the regions.* The discretion of the boards of directors would have been greatly extended, apprehensiveness about the EDR takeover of the LEAs (though somewhat farfetched) would have been reduced, Frankfort bureau chiefs would have been divested of the field employees they feared they could not control. This observation of the Kentucky experience is not hindsight indictment of the actions taken, because the option, in the short run, to provide money rather than people probably did not exist. Had the regions continued, however, change in that direction would probably have contributed to the health of the regions.

Had the regions survived under Dr. Graham it is quite likely that the money flow would have been changed. It would seem appropriate for the state to pay a portion of the regional directors' salaries if they were to play ambiguous roles, but others would be employees of the board of directors.

Competition

There was repeated indication in the interviews that opposition of the Title III (ESA) Regions and the Vocational Education Regions was far more damaging than anyone realized at the time. Most of the Title III Regions faded away after 1972 when the SDE began shifting federal and state resources to EDRs. The one at Ashland survived and it is clear from Harry Newman's testimony and the EDR hearing that it was considered the rival of EDRs and that the eight-region network it had respesented was favored over the EDR network.

Associate State Superintendent for Vocational Education, Dr. Carl Lamar, energetically supported merging the vocational regions into the EDRs. But he admits that it never came off as a compatible and cooperative reality in several regions. Though structurally merged, the loss of prestige and control continued to activate covert opposition in many spots, but overt antagonism was apparently limited to Ashland and one or two other places.

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*The judgment about money flow is based upon the experience of states where ESAs exist outside the South. It is not very instructive about the future design of ESAs for county-unit states. Kentucky shares some features of those states in the South and Southeast and traditions of finance might lead to similar decisions. County unit LEAs might expect or prefer the flow scheme used in Kentucky. The suggested change in money flow, however, was supported by some interviewees in the study. As Sam Alexander said, "I would have changed the money flow. But all that would have worked out in time."

Was it a mistake to merge EDRs and vocational education? It was directed toward the goal of closing the gap between vocational and general education. Most general educators would applaud the intent and the effort. They perceive the division as artificial, as overprotective of vocational educators and as counter to mainstreaming trends for students and teachers. The separation, of course, is not unique to Kentucky. In Massachusetts, Connecticut, Pennsylvania and Ohio, for example, vocational education is separate from general purpose ESAs. Vocational education has the power and strength of special financial resources (federal and state) and influential support from labor, industry and lay advisory boards. Sometimes state educational leadership does not have the power and/or courage to limit vocational educations's autonomy and insist upon integration into general education ESAs. Since the demise of EDRs, vocational education has become more segregated than ever in Kentucky. Despite opposition by State Superintendent Graham, a separate State Board for Vocational Education has been established by the Governor and Legislature. When three ex-directors of EDRs were asked, "If started again should EDRs be merged with the vocational regions?" two replied, "No, they are too powerful." The third said, "Yes, it is the right thing to do and, let's face it, in some regions it worked beautifully."

Here again, an observer is prone to point to the four-year cycle of things educational in Kentucky and conclude that the time-frame is just too short to accomplish such a major change against foot dragging and outright opposition. If both the regions and their inclusion of vocational education had survived another four years the few good models in the state might have been emulated by others.

An outside observer immune to the vested interests of the times and the trauma of their demise finds it too easy to say that the Title III Regions should have immediately been incorporated into the EDR structure. Though painful, their extermination as separate entities and merger with EDRs would have created a more defensible regional design. A clear decision to immediately divert Title III and all other federal monies for regional operations to EDRs would have added to EDR strength. The Title III Regions had many advocates in Kentucky. Hindsight asks if failure to do battle with them at the outset may have been costly to EDRs in the end.

Noninvolvement of ADDs

The importance of the relationship of the EDR configuration of the Area Development Districts (ADDs) is evidenced by the inclusion of "compatibility" as one of the eight criteria for EDR design. Compatibility was defined as the extent of congruence with other regions, but "other regions" were essentially confined to ADDs and the Vocational Education Regions. Thereafter, it seems that most EDRs forgot about ADDs. The foresight of the planners was lost on the operators. The future of governmental designs lies in the systems view that stresses intergovernmental integration and cooperation rather than isolation and/or adversary relationships.

The level of cooperation SDE envisioned between these two regional networks did not materialize. Each was deprived of planning and technical assistance. Item six under programming in the perceptions probe, "EDR services for other agencies were generally too limited," suggests that former SDE officials sensed that EDRs should have done more with other agencies. They not only forfeited the potential advocacy of the ADDs, they may have enhanced some OLG (Office of Local Government, the parent state agency for ADDs) opposition to EDRS in 1976. According to Sam Alexander, the former Deputy State Superintendent, "Part of the original thrust for organization of ESAs in Kentucky was a special response to the establishment of Area Development Districts and proposed legislation that they function, in part, as education regions. KRS 147A.120 was designed to keep ADDs out of the Department of Education and the school districts of the state." Thus mutually defensive poses may have been developed by EDRs and ADDs. Did OLG contribute to the EDR demise in 1976? If so, as claimed by some interviewees, it is easily possible that the perceived competition of Title III Regions and Vocational Education Regions to EDRs was not as effective as the subtle influence of the far more powerful Office of Local Government.

Governmental Arrangements for Education

The perceptions probe and the foregoing observations concerning the EDRs should be useful to those attempting to design or improve ESAs. But the special uniqueness of the Kentucky experience probably resides in the uniqueness of its governmental arrangements for education. From the past they feature constitutional protection from continuity in strong educational leadership, and from the present they feature increasing domination of the education establishment by the Governor. Currently dramatic advance in enlightened funding of education seems to be accompanied by retrogression in the opportunity for the State Department of Education to maintain its tradition of semi-autonomous leadership of the state's elementary and secondary education system.

Constitutional Inhibitors of Effective Educational Leadership. Kentucky has had respected leaders in the elected constitutional office of the State Superintendent of Public Instruction. They have been deprived of the opportunity to plan effectively beyond four-year cycles and to build consistency into the development of multi-year programs. While a third of the states continue to elect the chief state school officer, the Bluegrass State stands alone in its prohibition of the State Superintendent to run for consecutive four year terms. This impediment in the leadership potential of the state was incoporated in the State Consitution in 1891 after a long-time State Treasuer absconded to South America with the state's funds in 1888. Nonsuccession became the mandate for all of Kentucky's constitutional officers.

There is little doubt that EDRS would today be operational and in better health than in 1976 if the State Superintendent of 1972-76 had continued in office. Likewise there is considerable assurance that EDRs or a similar state network would not be created before 1984 if the present State Superintendent could succeed himself. The fate of the regions after 1979 will depend primarily upon the person who will assume the post of State Superintendent for the 1980-84 term and upon who will be Kentucky's next Governor.

Unrelated to the fate of EDRs, but part and parcel of the inhibitors of effective continuing leadership is the constitutional restriction on the State Superintendent's salary. The limit of $12,000 would be totally unworkable were it not for the "rubber dollar decision" of the Kentucky Court of Appeals, which allows the Legislature to periodically adjust salaries for the changing value of the dollar. The adjusted limitation is below the market price for top educational leadership. Again, according to Sam Alexander, "The salary of the State Superintendent of Public Instruction is disgraceful. He not only must generally take a pay cut, he gets less than some people he supervises; he gets far less than appointed government executives with similar responsibilities. On top of that, he knows he must find a different job at the end of one term. Those are not the conditions which would produce a flock of highly qualified professional candidates. It is a wonder that we have had so many fine State Superintendents."

The Kentucky Constitution made no provision for a State Board of Education. This means that the State Board of Education suffers from lack of power and independence as it endeavors to have impact upon the state's educational system. It exists in statute only and it can be legislatively changed or abolished at any time. Secondly, the influence of the Governor can be inordinately strong because there are only seven members, and each is appointed for a four-year term.

The State Board was a part of the decision to implement the regions when it approved the state plan for them on June 16, 1972, and on September 12, 1973 when it approved the model Interlocal Agreement [47,48]. The State Board took no action with reference to the abolishment of the regions in 1976. It would have been powerless to change a decision favored by both the State Superintendent and the Governor. Should there be frequent disputes between the State Superintendent and the Governor, the Kentucky State Board of Education would side with the Governor or risk changed constituency or elimination.

Statutory Inhibitors of a Strong and Semi-autonomous System of Elementary and Secondary Education. The encumbrances placed upon the Education Department and the State Superintendent are by no means limited to the state constitution. Potential inhibitors of SDE leadership appeared in statute in 1974 and in 1978. In 1974, the post of Secretary of the Education and Arts Cabinet was created under Governor Wendell Ford. This was no immediate threat because Governor Ford appointed the then State Superintendent (Ginger) to assume the new post. Neither has it been a serious threat since 1976 because Governor Julian Carroll appointed former three-time State Superintendent Wendell Butler to fill the post.* Wendell Butler understands and appreciates the need for independence in the state superintendency. Perhaps the primary consequences at the moment are denial of a cabinet post to the State Superintendent and an additional delay in processing appointments of new employees. But the threat is there, and the mechanism exists for the Governor to further erode the power of the State Superintendent, an erosion that could change a once powerful constitutional office into a mere status position.

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*The press reported that the appointment got Butler out of the primary election against Dr. Graham. It was claimed in interviews that another Graham opponent withdrew and received a senior staff appointment in the State Department of Education.

The 1978 creation of a separate State Board of Vocational Education parallel to the State Board of Education was in direct opposition to the counsel of the incumbent State Superintendent, Dr. Graham; and it was contrary to the opinion of Mr. Butler, the Secretary of Education and the Arts. This decision by the Governor and Legislature suggests that the educational environment has become very politicized. SDE's explicit goal to develop a closer relationship between general and vocational education is threatened by the existence of this second board. It implies that the vocational regions will be safe from EDR threat, should the network be recreated, and it implies that a relatively weak State Board of Education will become weaker. (It would seem that a preferable Kentucky response to the federal push for a state vocational education board would have been the designation of the State Board of Education to serve, also, as the vocational board--an arrangement adopted in some other states.)

Growing Politicization of Education. Several of those interviewed asserted SDE is politicized as never before. Primary evidence cited is the appearance of many new faces at the senior staff level during the past four years. It has also been stated with conviction that the State Superintendent feels that he and the State Board are operating under increasing political constraints. It was claimed that the Governor chose the successor to Dr. Carl Lamar, who resigned as Associate Superintendent for Vocational Education. Raymond Barber, the former education liaison person in the Governor's office was appointed Deputy State Superintendent and is regarded as the most likely choice for the state superintendency in 1980.

At the same time, the Governor's Special Assistant has made the point that the Governor's office has not disapproved a single Graham recommendation of a person for a "non-merit" or senior staff position in the SDE, and there are several acknowledged Graham choices in high posts.

Nonetheless, some observers see in the high-level staff changes politicization and serious jeopardy of the degree of stability that is needed in senior staff under a system which forces change in the superintendency every four years.

In Governor Julian Carroll's 1976-80 term, Kentucky has made tremendous improvement in the funding of elementary and secondary education. The state not only increased teachers salaries dramatically and increased its overall investment in education, it distributed the financial burden more equitably and became a national leader in the percent of state support for education. Carroll observers in Kentucky are divided in their appraisal of their Governor vis-a-vis education. Some call him the greatest "education governor" in the state's history. Others believe that his aspiration to that reputation has led to excessive gubernatorial involvement in the control of education. In addition to his role in the politicization of SDE and the establishment of the separate vocational education board, Carroll critics cite the staffing of his Governor's Task Force on Education. On the other hand, the task force has been highly productive in making recommendations for legislation. But its use also suggests how weak the State Board and the State Superintendent can become in shaping educational policy if the Governor is dissatisfied with them and/or does not respect the limited independence that constitutional framers intended for the educational establishment. Upon Dr. Ginger's leaving the state superintendency, Governor

Carroll appointed him Executive Director of his Post-Secondary Education Commission. Approximately two years later he appointed the former State Superintendent to work, as a consultant, with his Task Force on Education. This circumstance found a Governor who was party to the elimination of EDRs appointing the man who established the regions and who disagreed with Dr. Graham concerning them, to a sensitive educational responsibility. In the minds of some people that appointment seemed to assault the independence and influence of State Superintendent Graham. Dr. Ginger, no longer in the post, had opportunities to oppose the State Superintendent's intentions if he so desired. There is no record of his taking any action against Dr. Graham's and Governor Carroll's defunding decision on the regions in early 1976, nor is there record of his opposing other recommendations of the State Superintendent. Yet the curious arrangement speaks for itself. It would appear that the Governor did not plan serious involvement of the SDE or the state's constitutional education leader in his task force. The argument that the task force should have been free of the influence of the establishment pales when it is noted that task force planners formerly worked under Dr. Ginger in SDE. They helped plan the regions in 1972 and they have been in position to draft recommendations which are reputed to include a study of the re-establishment of the regions.

Constitutional Reform--Needed, but Improbable. The Kentucky experience is not notable because of the different views of the key actors. Such differences are common to educational systems. Lyman Ginger and his administration built on some groundwork laid by Wendell Butler. Regions were developed because he (Ginger) thought SDE could provide better service through them and because he thought the LEAs would work together better.

James Graham and his administration eliminated the regions on equally rational grounds. The LEAs could voluntarily form cooperatives and work together (some have done so); and the SDE could deliver its services better and more economically without the regions.

It is entirely possible to accept both stances at face value. It is also possible to admit the insidious role of a growing politicization of the education establishment, a phenomenon not unfamiliar elsewhere in the nation.

The problem in Kentucky is not predictable human behavior, but the state's flawed constitutional and statutory mechanisms. There is no provision for reasonable continuity of leadership at the highest educational level; destructive competition is encouraged by the separation of vocational from all other education; long-range planning is effectively precluded by law. In such a framework, the rational and consistent resolution of differences and the cooperative application of the state's resources to educational needs are difficult or nearly impossible. The best intentions cannot, under the circumstances, compensate for the lack of time needed to develop, test and modify significant aspects of the state's educational system.

Until there is constitutional reform in Kentucky, its educational leaders will continue to serve under unique constraints. The voters have shown no disposition to change the constitution. Therefore, it becomes incumbent on the educational establishment, the Governor and the Legislature to develop a statuatory and policy environment that will be as hospitable as possible to the

deliberate planning and development that is essential if consistent improvement in the state's educational system is to be achieved. Perhaps rational people could debate whether or not the EDRs were the best response to Kentucky's needs in 1972. There is little doubt, however, that they would have survived in another environment. Kentucky is not now a state in which a statewide network of education regions, dependent upon state financing and the continuing commitment of the state's educational leadership, is likely to achieve a reasonable life expectancy.

Conclusion

The story in Kentucky is not one of who was right and who was wrong. It is an example of the kind of uncertainty and instability that can result in a particular political environment. The state's experience with EDRs has not been without value, disappointing as the dissolution of the network may have been to many. The State Department of Education's service to the field is generally better than it was before EDRs and, as a matter of fact, SDE continues to use the same regional clustering of school districts for many of its meetings and service delivery functions. The experience should also enhance the chances for success and survival of future regional endeavors, should they be undertaken under favorable conditions.

FOOTNOTE REFERENCES

[1] Kenneth W. Burr, Halder Fisher and James R. Thomas, (Final Report on) Formulation of a Rational Organization for Kentucky's School Districts (to Kentucky State Department of Education), Battelle Center for Improved Education, Columbus, OH, August 13, 1971, 56 pp. Identifying term: Battelle Report.

[2] Division of Research, Kentucky Department of Education, (Tentative) Kentucky Department of Education State Regionalization Plan for Educational Development Districts, Frankfort, April, 1972, 30 pp. Identifying term: Department Plan.

[3] Division of Regional Services, Kentucky Department of Education, ED Regions Policy and Procedure Guide, Frankfort, 1974, 128 pp. Identifying term: The Guide.

[4] Kentucky Department of Educaiton, Kentucky Educational Development Regions . . . . Organizing for a Better Tomorrow, Frankfort, 1975, 60 pp. Identifying term: ED Development Regions.

[5] Executive Office, State of Kentucky, Kentucky Executive Budget, 1976-1978, Frankfort, p. 169. Identifying term: Executive Budget.

[6] Legislative Research Commission, "Public Hearing on Kentucky Educational Development Regions", State Capitol, Frankfort, March 8, 1976, 6 pp. (Mimeographed record with approximately 30 pages of written testimony appended). Identifying term: The Hearing.

[7] Louise Combs and Kern Alexander, "Kentucky Department of Education, "Chapter 17, Education in the States: Historical Development and Outlook, Ed. Jim B. Pearson and Edgar Fuller, Project of the Concil of Chief State School Officers. Published by NEA, Washington, 1969, p. 461-487.

[8] Ibid., p. 461-487. The bulk of the material in "Historical Background" prior to 1960 came from this source.

[9] Ibid., p. 466, quoting from M. E. Lignon's, A History of Public Education in Kentucky, Bulletin XIV, Bureau of School Services, University of Kentucky, Lexington, June 1942, p. 116.

[10] January, 1979, phone call to NEA's "Ranking of the States" Office.

[11] July, 1978, interview with former State Superintendent, Lyman V. Ginger.

[12] Battelle Report, p. 7.

[13] Ibid. p. 41.

[14] Ibid. p. 1.

FOOTNOTE REFERENCES (continued)

[15] Department Plan, Adapted from p. E-2, Appalachian demarcation line deleted.

[16] The Guide, p. 112.

[17] Ibid. An abridged version of the nine steps, p. 9-10.

[18] Op. cit., ED Development Regions, (from the profile data on each region).

[19] Battelle Report, p. 19-24.

[20] Ibid., p. 22.

[21] The Guide, p. 12-18.

[22] Department Plan, p. 15.

[23] Ibid., p. 18.

[24] The Guide, p. 23, 24, 25.

[25] Ibid., p. 26.

[26] ED Development Regions, 60 pp.

[27] Ibid.

[28] Executive Budget, p. 169.

[29] Governor Julian M. Carroll's presentation of the Kentucky General Assembly, "State Government Issues", January 28, 1976, p. 41.

[30] Battelle Report, p. 21.

[31] Interview with Dr. Graham in New Orleans, February 15, 1979.

[32] "The Kentucky Executive Budget, 1976-78, Press Packet", p. 42.

[33] Op. cit., The Hearing, p. 1.

[34,35] Ibid., p. 3.

[36] Ibid., Unnumbered 4th page of Hudson's attached statement.

[37] Ibid., p. 4.

[38] Ibid., Unnumbered first page of Harmon's attached statement.

FOOTNOTE REFERENCES (continued)

[39] Ibid., Five-page attachment.

[40] Phone conversation with Charles Clark.

[41] Phone conversation with Mr. Chattin, February 10, 1979.

[42] Paraphrase of Mr. Mullins' comments in July, 1978 interview.

[43] Interview with Dr. Graham, February 15, 1979.

[44] Department Plan.

[45] Legislative Research Commission, Kentucky General Assembly, School District Reorganization: A Move Toward Efficiency, (Research Report No. 65), State Capitol, Frankfort, December 1971, 26 pp.

[46] Frank Bickel, "An Experiment with Regional Education Service Agencies," Rural/Regional Education News, Vol. 30, No. 6, Chatauqua County BOCES, Fredonia, N.Y., Winter, 1978-79, p. 7.

[47] Ginger letter to LEA superintendents, June 16, 1972.

[48] The Guide, p. 3.

[49] Norman H. Nie and others, Statistical Package for the Social Sciences, McGraw-Hill Book Company, 1970, pp. 218-275.

APPENDIX

Table A-1

Table A-1, "Perceptions of Selected SDE and EDR Officials Concerning Advantages, Disadvantages and Frequently Cited Issues of EDRs in Kentucky," illustrates the means of responses from three groups: current SDE officials, former EDR directors, and former SDE officials.

The means of the groups are graphed to facilitate the sensing of differences between them. In addition, significant differences in the response distribution are represented by (D) or (d), which indicate .05 and .10, respectively, in probability levels of significance. The use of two levels of significance adds refinement to the reading of the graphed means. Probability levels were derived from the chi-square test of statistical significance found in the "Crosstabs" subsection of the Statistical Package for the Social Sciences (SPSS).[49] In view of the small n's the results must be view with caution. Their primary value lies in their confirmation and refinement of interview data.

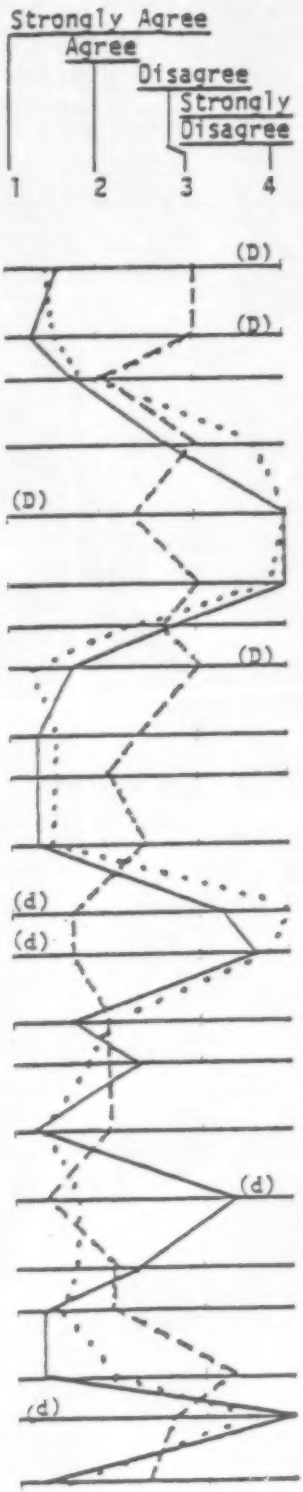
Table A-2

Table A-2, "Perceptions of Possible Research Priorities," shows the distribution of the responses of three groups concerning ten possible research priorities. The response scale is weighted and the total weight for the combined groups is shown for each priority. Rankings of the weighted responses are shown in Table 11 on page 48.

TABLE A-1

PERCEPTIONS OF SELECTED SDE AND EDR OFFICIALS CONCERNING ADVANTAGES, DISADVANTAGES AND FREQUENTLY CITED ISSUES OF EDRs IN KENTUCKY

Comparison of Responses of Three Groups:
Current SDE Officials (n=3) --------
Former EDR Directors (n=4) ————
Former SDE Officials (n=5) ....

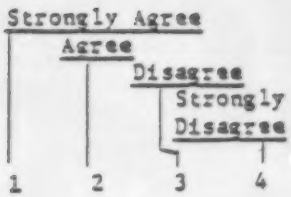


Advantages and Disadvantages

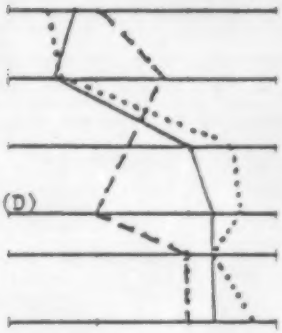
Generally, when they existed:

1. EDRs provided best use of resources for a network in research, development, evaluation and dissemination.
2. EDRs facilitated provision of high quality supplemental and support services to LEAs.
3. EDRs tended to equalize educational opportunity among LEAs.
4. EDRs tended to increase competition for resources available for the state system of education.
5. EDRs tended to limit LEA responsiveness to current needs by maintaining outdated programs.
6. EDRs contributed to a decline in appropriate school district reorganization efforts.
7. Most SDE officials viewed EDRs as an extension of LEAs.
8. EDRs facilitated communication between LEAs and the SDE.
9. EDRs provided cost-effective delivery of special programs and service to LEAs.
10. EDRs improved SDE management service to LEAs.
11. EDRs developed programs and services for LEAs when these districts were unable to do so.
12. Conflicts between EDRs and the SDE tended to cause dysfunctions in the state system of schools.
13. EDRs contributed to a loss of local control in LEAs.
14. EDRs promoted the use of modern technology in its programs and services.
15. Most LEA officials viewed EDRs as an extension of the SDE.
16. EDRs promoted the involvement of LEAs in standards and regional planning.
17. EDRs contributed to public misunderstandings concerning educational governance and policy issues.
18. EDRs contributed to coordination and cooperation between LEAs and agencies other than the SDE.
19. EDRs facilitated communication among LEAs.
20. EDRs can be more effective than the SDE in helping LEAs to change the state system of schools.
21. EDRs contributed to a decline in the initiative of LEAs.
22. EDRs contributed to the responsiveness of the state system of schools to needed changes.

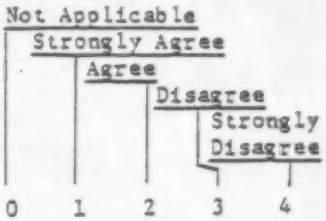
Current SDE Officials (n=3) --------
Former EDR Directors (n=4) ————
Former SDE Officials (n=5) ·····



23. EDRs can be effective transmitters of collaborative LEA grassroots influence on the SDE.
24. EDRs contributed to the adaptability of LEAs to needed changes.
25. As enrollments decline, LEA teachers opposed EDRs assuming programs discontinued by LEAs.
26. The smaller LEAs within EDRs had too much influence in EDR operations.
27. Large LEAs opposed the establishment and/or growth of EDRs.
28. Small LEAs were almost the only LEA advocates for increased state funding for EDR services

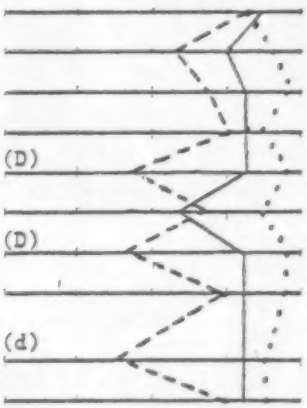


Frequently Cited Issues



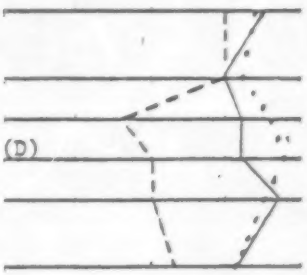
Major Establishment Issues:

1. Legislation for establishing EDRs was too restrictive.
2. SDE regulations for establishing EDRs were too restrictive.
3. Too many EDRs existed.
4. Too few EDRs existed.
5. All LEAs were required to hold membership in EDR.
6. Large enrollment size LEAs excluded from EDRs.
7. Geographic region of EDRs was too great.
8. Geographic region of EDRs was too small.
9. Procedure for alteration of EDR boundaries was too restrictive.
10. Procedure for dissolving of EDRs was too restrictive.

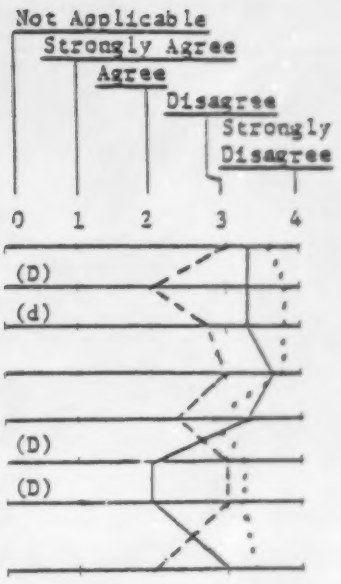


Major Governance Issues:

1. Legislation too restrictive on authority of governing board.
2. SDE regulations too restrictive on authority of governing board.
3. Governing boards too large.
4. Governing boards not representative.
5. Not all LEAs represented on governing boards.
6. Board members represented home LEA rather than interest of entire EDR region.



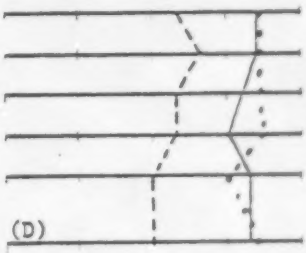
Current SDE Officials (n=3) ————
Former EDR Directors (n=4) ————
Former SDE Officials (n=5) ·····



7. Governing boards were dominated by small LEAs.
8. Governing boards were dominated by large LEAs.
9. Method of selecting governing boards was not equitable.
10. LEA boards tend to nominate poor candidates for EDR board.
11. Too few EDR advisory groups of LEA personnel existed.
12. Nonpublic schools were excluded on governing boards.
13. Nonpublic schools were excluded on advisory groups.
14. Citizen participation in EDR policy formulation was excluded.

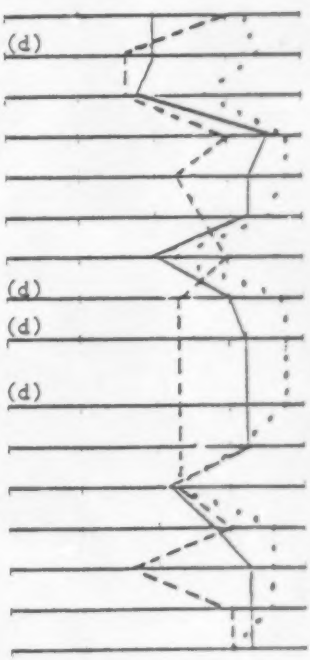
Major Organizational and Management Issues:

1. Weak professional (EDR execs) leadership.
2. Management data was not timely.
3. Management data was inadequate.
4. Planning capabilities were limited.
5. Too many LEAs existed.
6. EDR board member(s) were involved in EDR operational details.

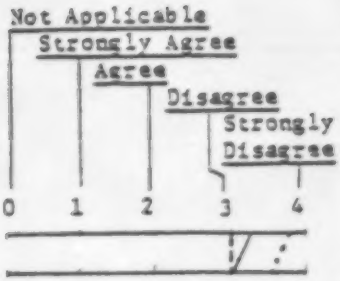


Major Financial Issues:

1. Legislation for financing EDRs was too restrictive.
2. SDE regulations for financing EDRs were too restrictive.
3. EDR financing system was not reliable.
4. EDR financing system favored small size LEAs.
5. EDR financing system favored large size LEAs.
6. EDR budget planning system was ineffective.
7. State financing of EDRs was inadequate.
8. EDR financing system favored low-wealth LEAs.
9. EDR financing system favored high-wealth LEAs.
10. EDR financing favored LEAs with high tax rates (high effort).
11. EDR financing was dependent on meager LEA resources.
12. EDR financing was dependent on meager state resources.
13. State incentives for LEA participation in EDRs were absent
14. EDR budget planning excluded LEA participation.
15. EDR budget planning excluded SDE participation.
16. EDR accounting procedures were too restrictive.



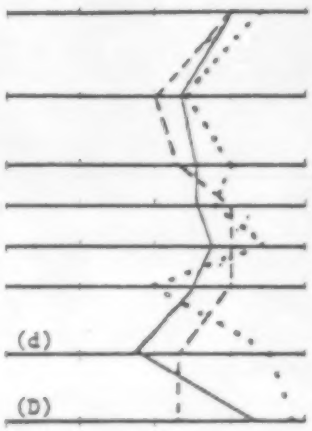
Current SDE Officials (n=3) --------
Former EDR Officials (n=4) ————
Former SDE Officials (n=5) ·····



17. EDR accounting procedures were too vague.
18. Number of member LEAs was too small.

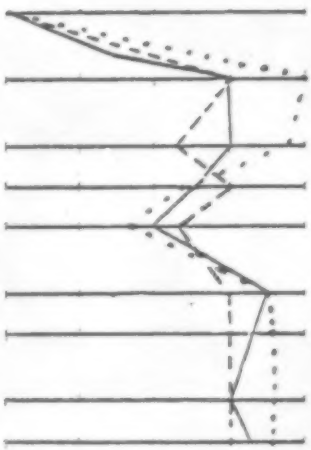
Major Programming Issues:

1. SDE regulations governing EDR programs were too vague.
2. EDR direct instructional services to LEA students were generally too limited.
*3. EDR indirect instructional services to LEA students were generally too limited.
4. EDR management services to LEAs were generally too limited.
5. EDR services for the SDE were generally too limited.
6. EDR services for other agencies were generally too limited.
7. Nonpublic schools were excluded from participation in EDR programs.
8. EDRs generally were not able to respond to new programming priorities.



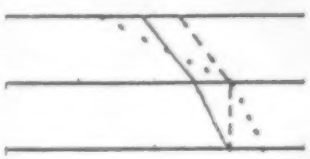
Major Staffing Issues:

1. Legislation establishing duties of EDR executive officer was too vague.
2. SDE regulations establishing duties of EDR executive officer were too vague.
3. Insufficient flexibility to change staff to drop and/or add programs.
4. Lacked resources to get high quality staff.
5. Lacked resources for sufficient personnel.
6. EDR collective bargaining practices restricted flexibility of EDR.
7. State tenure practices restricted flexibility of EDR.
8. State certification practices restricted flexibility of EDR.
9. EDR salaries were too high.

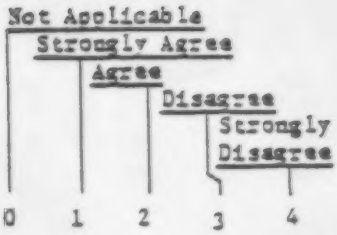


Major Facilities and Equipment Issues:

1. Legislation governing EDR facility acquisition was too restrictive.
2. SDE regulations governing EDR facilities and equipment were too restrictive.
3. Location of EDR facilities generally limited LEA accessibility to EDR services.

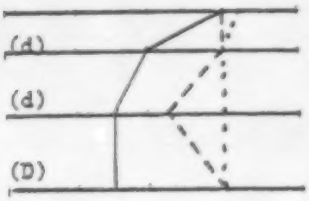


Current SDE Officials (n=3) ————
Former EDR Officials (n=4) ————
Former SDE Officials (n=5) .....



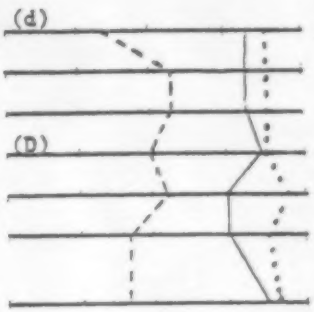
Major SDE-EDR Relationship Issues:

1. SDE coordination of EDR activities was generally too restrictive.
2. Insufficient SDE staff attention given to EDR operations.
3. SDE resisted use of EDR to improve coordination of state system of Schools.
4. SDE resisted LEAs use of EDRs for collaborative LEA input on state policies and programs.



Major LEA-EDR Relationship Issues:

1. EDR programs were too costly.
2. Lack of LEA involvement in EDR budget plan.
3. Lack of LEA involvement in EDR program plan.
4. Lack of LEA involvement in screening key EDR personnel.
5. LEAs not supportive of more state funds for EDR programs.
6. LEAs resisted EDR development of close ties with SDE.
7. LEAs resisted EDR pressure for LEA use of EDR programs and Services.



* "indirect instructional services" are synonymous with "instructional support."

TABLE A-2

PERCEPTIONS OF POSSIBLE RESEARCH PRIORITIES

Current SDE Staff (n=3) Former EDR Directors (n=4) Former SDE Staff (n=5)	Priority Scale	Highest	High	Medium	Low	No Need
	(weight)	4	3	2	1	0
1. Attitudinal studies of EDR clients.						
	Current SDE Staff				3	
	Former EDR Directors	1	2	1		
	Former SDE Staff	2		2		1
	Total (12)	3	2	3	3	1
	Total Weight: 27					
2. Studies of "equal availability" of EDR programs and services to students and staff of disparate LEAs.						
	Current SDE Staff		3			
	Former EDR Directors	1	1			2
	Former SDE Staff			3		2
	Total (12)	1	4	3		4
	Total Weight: 22					
3. Cost effective studies of EDR programs and services.						
	Current SDE Staff	2	1			
	Former EDR Directors	2				2
	Former SDE Staff	2	2	1		
	Total (12)	6	3	1		2
	Total Weight: 35					
4. Assessment of the organizational effectiveness of ESAs.						
	Current SDE Staff		2	1		
	Former EDR Directors	2	1			1
	Former SDE Staff	4				1
	Total (12)	6	3	1		2
	Total Weight: 35					
5. Development of alternative models for the governance of ESAs.						
	Current SDE Staff		1	2		
	Former EDR Directors		1	1		2
	Former SDE Staff		1	3		1
	Total (12)		3	6		3
	Total Weight: 21					

Current SDE Staff (n=3)
Former EDR Directors (n=4)
Former SDE Staff (n=5)

6. Development of alternative models for the financing of ESAs.

Priority Scale	Highest	High	Medium	Low	No Need
(weight)	4	3	2	1	0
Current SDE Staff		1	2		
Former EDR Directors	1		1		2
Former SDE Staff	1	3			1
Total (12)	2	4	3		3

Total Weight: 26

7. Development of criteria for the allocation of functions to SEA, LEAs and ESAs.

Current SDE Staff		1	1	1	
Former EDR Directors	1	1	2		
Former SDE Staff	1	2		1	1
Total (12)	2	4	3	2	1

Total Weight: 28

8. Development of design requirements for metro-oriented ESAs.

Current SDE Staff		1			2
Former EDR Directors					4
Former SDE Staff		3	1		1
Total (12)		4	1		7

Total Weight: 14

9. Development of design requirements for non-metro-oriented ESAs.

Current SDE Staff	1				2
Former EDR Directors	1	1			2
Former SDE Staff			2	2	1
Total (12)	2	1	2	2	5

Total Weight: 17

10. Role of ESAs in intergovernmental relations

Current SDE Staff			3		
Former EDR Directors	1		1		2
Former SDE Staff		2	1	2	
Total (12)	1	2	5	2	2

Total Weight: 22